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Situation of human rights in the Democratic People's Republic of Korea

Report of the Secretary-General

Summary

The present report is submitted pursuant to General Assembly resolution 65/225 on the situation of human rights in the Democratic People's Republic of Korea. The report provides an overview of the deteriorating human rights and humanitarian situation in the country during the reporting period (from August 2010 and August 2011). The report further contains information on the current level of engagement of the Democratic People's Republic of Korea with the United Nations human rights mechanisms.

In addition, the report highlights efforts by the Government in providing humanitarian assistance with the help of various United Nations offices, such as the World Food Programme (WFP), the United Nations Population Fund (UNFPA), the Food and Agriculture Organization of the United Nations (FAO), the United Nations Children's Fund (UNICEF) and the United Nations Development Programme (UNDP).

Finally, the report contains recommendations, addressed to both the international community and the Government of the Democratic People's Republic of Korea, aimed at improving the human rights and humanitarian situation.

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I. Introduction

1. The present report is submitted further to General Assembly resolution 65/225 on the situation of human rights in the Democratic People's Republic of Korea, wherein Member States expressed their serious concerns at the persistence of continuing reports of systematic, widespread and grave violations of civil, political, economic, social and cultural rights in the Democratic People's Republic of Korea. In the same resolution, Member States urged the Government of the Democratic People's Republic of Korea to engage in technical cooperation activities in the field of human rights with the Office of the United Nations High Commissioner for Human Rights and extend full cooperation to the Special Rapporteur on the situation of human rights in the Democratic People's Republic of Korea, including by granting him full, free and unimpeded access to the country. Member States have also expressed their very deep concern at the precarious humanitarian situation in the country. Furthermore, the General Assembly decided to continue its examination of the situation of human rights in the Democratic People's Republic of Korea at its sixty-sixth session and to this end requested a comprehensive report on the human rights situation in the country.

2. The past year saw a serious deterioration in the food situation in the country. The country faced a very harsh winter and a squeeze on commercial imports and bilateral food assistance. Against this backdrop and at the request of the Government of the Democratic People's Republic of Korea, WFP, together with UNICEF and FAO, carried out a rapid assessment in February/March 2011. The assessment indicated that over 6 million people would need food assistance in 2011.[1] In April 2011, WFP, FAO and UNICEF launched an emergency operation to reach 3.5 million of the most vulnerable children, women and the elderly in the Democratic People's Republic of Korea, as described further in the present report.

3. The reporting period also saw the completion of a UNICEF-led multi-indicator cluster survey that began in 2009, which provided reputable data to help programming and implementing child-related activities. The survey revealed some worrying facts about children's health in the Democratic People's Republic of Korea, detailed in the following sections.

4. During the period under review, Marzuki Darusman, the Special Rapporteur on the situation of human rights in the Democratic People's Republic of Korea visited the Republic of Korea, Japan and Thailand and submitted his first substantial report to the Human Rights Council, where he highlighted a number of human rights concerns in the Democratic People's Republic of Korea.

5. In November 2010, following the artillery shelling on Yeongpyong Island, high tension prevailed in the Korean peninsula, which, among other consequences, resulted in the halting of the Republic of Korea's provision of humanitarian aid to the Democratic People's Republic of Korea and of the family reunion process of separated families.

[1] See: http://www.wfp.org/countries/korea-democratic-peoples-republic-dprk.

II. Overview of the human rights situation in the Democratic People's Republic of Korea

A. Human rights issues

6. Since my previous report, there have been no substantial changes in the challenges faced by the United Nations and other independent international organizations in systematically monitoring and recording the human rights and humanitarian situation in the country. The Democratic People's Republic of Korea has no uniform policy on providing access for the United Nations to different parts of the country, and United Nations entities are given differential access based on the needs of their programme. However, reports emanating from the country through various channels indicate that the overall human rights situation remains very serious. With regard to the right to food, there have been reports of continued suffering of the people of the Democratic People's Republic of Korea from chronic food insecurity and high malnutrition rates.[2] The sharp economic downturn has seriously constrained the Government's ability to feed and care for its people.[3] The recently conducted joint WFP/UNICEF and FAO assessment shows that food needs are acute, with young children, pregnant and lactating women, the elderly and "large family with high dependency"[4] being particularly vulnerable.[3] Other reliable sources have noted[5] that the average life expectancy of Koreans from the Democratic People's Republic of Korea has fallen to 66.8 years, a decrease in 6.4 years since 1993.

7. In the absence of comprehensive economic and social data, it is very difficult to present a complete and accurate picture of the economic performance of the country. From the available information, it can be deduced that the country's centrally planned economy is unable to nurture its industrial sector and its agricultural output has been far below its potential because farming is not mechanized and there are shortages of seeds, tools and fertilizers.[5] These economic stresses have a profound impact on the enjoyment of economic, social and cultural rights.

8. With regard to the right to water and sanitation, as a part of the right to an adequate standard of living, reports indicate that over many years, the conditions and quality, both in terms of practices and infrastructure for storage and use of water, have been continuously deteriorating. The current efficacies of national water and sanitation infrastructure and the population hygiene practices therefore have acute repercussions on the already vulnerable population. For instance, diarrhoea is the leading cause of morbidity for children under five, and is directly linked to poor quality or contaminated water, poor quality sanitation and unsafe hygiene practices.[5]

9. With regard to the right to health, the Democratic People's Republic of Korea is the only country in the Asia-Pacific region not on track to meet Millennium Development Goals 4, 5 and 6. Reducing maternal and newborn mortality has been

[2] See: Rapid Food Security Assessment mission to the Democratic People's Republic of Korea. http://documents.wfp.org/stellent/groups/public/documents/ena/wfp233442.pdf.

[3] See Overview document of UNICEF: http://www.unicef.org/dprk/overview.html.

[4] Families with few income earners, but many children and elderly dependants.

[5] See Overview of Needs and Assistance, the Democratic People's Republic of Korea. http://reliefweb.int/node/421011.

a major challenge. Besides the deficiencies in the health system, undernutrition is also a major contributor to maternal and child mortality. The preliminary report of the multi-indicator cluster survey indicates rates of stunting at 32 per cent, underweight children at 19 per cent and wasting[6] among children under age five at 5 per cent. Furthermore, 28 per cent of pregnant and lactating women were considered undernourished. Tuberculosis represents a significant health concern for the overall population. Similarly, malaria continues to undermine public health to varying degrees in 7 of 10 provinces in the Democratic People's Republic of Korea since its re-emergence in the late 1990s.

10. Against this worrisome backdrop, the United Nations agencies providing humanitarian assistance in the Democratic People's Republic of Korea are increasingly faced with critical funding shortages. External assistance is still needed and continues to play a vital role in safeguarding the well-being of millions whose nutritional status and general health would otherwise be seriously compromised. Agencies mobilized only 21 per cent of the $137 million that was required for 2010. The lack of funding has meant that operations have been downsized, with several geographical areas and some vulnerable groups no longer receiving international assistance. For instance, the WFP data show a clear deterioration in the amounts of food assistance it has been able to allocate to the Democratic People's Republic of Korea. The provision of basic lifesaving assistance, such as nutritional assistance, medical supplies, medical health services and agricultural inputs, has been drastically reduced. It is anticipated that current resources of some agencies may be exhausted in early 2011, bringing to an end vital assistance for many people in the Democratic People's Republic of Korea.[7]

11. All assistance to the Democratic People's Republic of Korea continues to be provided on a "no access-no aid" basis — that is, aid will not be given unless there is access to the targeted recipients. Those living in counties which remain off limits to humanitarian agencies, therefore, do not receive assistance. The exception to this is United Nations support for the government immunization, vitamin-A supplementation, tuberculosis and malaria programme.[8] The Government's general rule for all agencies operating in the Democratic People's Republic of Korea is a seven-day notification for monitoring missions; this rule has been in effect for a number of years. Recent experience shows that the Government is willing to accommodate monitoring missions on far less notice, sometimes as short as 48 hours. A recently agreed "letter of understanding" between the Government of the Democratic People's Republic of Korea and WFP, allows WFP to provide only 24 hours' advance notice of a monitoring visit to a county.[9] However, it should be noted that counties deemed accessible to WFP may not be accessible to other United Nations entities or humanitarian organizations.[9] While I welcome new initiatives with WFP, I call upon the Democratic People's Republic of Korea to provide similar access and flexibility to other United Nations entities.

12. Severe restrictions on freedoms of thought, conscience, religion, assembly, opinion and expression continued to be reported. Despite several calls from various

[6] Also known as low weight for height.

[7] See Reliefweb, Overview of Needs and Assistance, the Democratic People's Republic of Korea, p. 4.

[8] Ibid., p. 34.

[9] Ibid.

quarters, including the General Assembly and the Human Rights Council, there have been no shifts in policies or practices of the Government with regard to respecting civil and political rights in the country.

13. The Government's control over the flow of information is strict and pervasive. The Democratic People's Republic of Korea's state news agency, the Korean Central News Agency, is the only source of information for all media outlets in the country. Article 48 of the Press Law, provides that printed matter that might encroach upon another's honour and dignity or the "state security" and public order will be stopped from production, issuing, dissemination, export and import.[10]

14. The High Commissioner for Human Rights in her opening statement at the seventeenth session of the Human Rights Council has also expressed concerns about the prevailing human rights conditions in the Democratic People's Republic of Korea and pointed out that very little information emerges from the country due to the absence of independent media and suppression of freedom of expression.

15. In the absence of human rights, non-governmental organizations and independent media in the country and lack of cooperation with OHCHR, independent verifications of all information is not possible. However, a number of reports have been received of arbitrary detention without charge or trial, torture in detention, the use of the death penalty — sometimes in public — forced labour and the ill treatment of refugees or asylum-seekers repatriated from abroad. Furthermore, there are allegations that political prisoners continue to be held in harsh prison conditions. Although it is difficult to provide exact numbers, it is estimated that there are many thousands. In this regard, I wish to refer to the Special Rapporteur's report to the Human Rights Council in March 2011, where he has extensively dealt with the issue of detention and correctional facilities, including political prisoners, and has offered his assistance to help the Government reform prison conditions.

16. In May 2011, Eddie Yong Su Jun, an American national was released after having been held for 6 months in captivity in the Democratic People's Republic of Korea. I appreciate the positive decision taken by the Democratic People's Republic of Korea on humanitarian concerns.

17. Regarding capital punishment, the number of offences carrying the death penalty has been reduced from 33 to 5. While this step is welcomed, I remain concerned that, of those five offences, four are essentially political offences (articles 44, 45, 47 and 52 of the Criminal Code),[11] couched in terms so broad that the imposition of the death penalty may be subjective and arbitrary. I would also like to refer to the report of the Special Rapporteur on extrajudicial, summary or arbitrary executions to the Human Rights Council, where he notes the lack of clarification from the Democratic People's Republic of Korea on details of all offences for which capital punishment is imposed and on information on how the State complies with international standards.[12] I hence call upon the Government to further consider the

[10] See reference to article 48 of Press Law in State submission to Human Rights Council 2000. http://www.unhchr.ch/tbs/doc.nsf/.

[11] Conspiracy against State power, high treason, terrorism, anti-national treachery and aggravated intentional homicide.

[12] A/HRC/17/28/Add.1.

question of capital punishment with a view to abolish it and to refrain from executions with immediate effect.

18. Some of these concerns have been echoed in the Special Rapporteur's report (A/HRC/16/58) to the Human Rights Council in March 2011, the report of the working group of the universal periodic review process of the Democratic People's Republic of Korea[13] and the conclusions and recommendations of various treaty bodies.[14] I urge the Government of the Democratic People's Republic of Korea to engage with OHCHR, the Special Rapporteur and other human rights mechanisms in order to improve the human rights situation in the country.

B. International human rights and other relevant instruments

19. The Democratic People's Republic of Korea is party to the International Covenant on Civil and Political Rights,[15] the International Covenant on Economic, Social and Cultural Rights,[16] the Convention on the Elimination of All Forms of Discrimination against Women[17] and the Convention on the Rights of the Child,[18] and as such is bound to respect human rights.

20. The Democratic People's Republic of Korea is not party to the Convention on the Elimination of Racial Discrimination, the Convention against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment and its Optional Protocol, the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families, the Convention on the Rights of Persons with Disabilities and the International Convention for the Protection of All Persons from Enforced Disappearances. Calls for the Democratic People's Republic of Korea to ratify these instruments have been made on several occasions; including during the universal periodic review process and treaty bodies review process.[19]

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[13] See A/HRC/WG.6/6/PRK/3 for information on the right to life, liberty and security of persons, paras. 15-31.

[14] See conclusions and recommendations of treaty bodies for the Democratic People's Republic of Korea: http://ohchr.org/EN/countries/AsiaRegion/Pages/KPIndex.aspx.

[15] Date of ratification: 14 September 1981; the Democratic People's Republic of Korea is not a party to the International Covenant on Civil and Political Rights and its Optional Protocols 1 or 2.

[16] Date of ratification: 14 September 1981; the Democratic People's Republic of Korea is not a party to the Optional Protocol to the International Covenant on Economic, Social and Cultural Rights.

[17] Date of ratification: 27 February 2001.

[18] Date of ratification: 23 February 2000.

[19] For example: the Committee on the Elimination of Discrimination against Women encouraged the Democratic People's Republic of Korea to consider ratifying the International Convention on the Elimination of All Forms of Racial Discrimination as did the Committee on Economic, Social and Cultural Rights in 2003. See: Committee on Economic, Social and Cultural Rights, *Official Records of the Economic and Social Council, 2004, Supplement No. 2* (E/2004/22), Concluding Observations, para. 540. Similarly, in 2009 the Committee on the Rights of the Child and in 2005 the Committee on the Elimination of Discrimination against Women urged the Democratic People's Republic of Korea to consider ratifying the Convention against Torture and its Optional Protocol. See: "Committee on the Rights of the Child, Concluding Observations", CRC/C/PRK/CO/4, para. 32 (f); *Official Records of the General Assembly, Sixtieth Session, Supplement No. 38* (A/60/38), para. 74.

21. In addition, treaty bodies, in particular the Committee on the Rights of the Child and the Committee on Economic, Social and Cultural Rights,[20] have recommended that the Democratic People's Republic of Korea consider joining the International Labour Organization, with a view to ratifying the Worst Forms of Child Labour Convention and the Minimum Age for Admission to Employment Convention,[21] and to consider ratifying the United Nations Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children.[22]

C. Domestic legislation

22. Section five of the Constitution of the Democratic People's Republic of Korea provides for certain fundamental rights for its citizens combined with duties.[23] For instance, article 65 provides that "Citizens shall enjoy equal rights in all spheres of state and public activity" and article 63 provides that in the Democratic People's Republic of Korea "the rights and duties of citizens are based on the collectivist principle of 'one for all and all for one'". A number of similar provisions guarantee that different kinds of fundamental rights do exist under the constitution.[24] However, these existing legal provisions cannot be considered fully compliant with international human rights standards. For instance, there are limited provisions under the Constitution that address the specific needs of women and children, as provided for under the Convention on the Rights of the Child and the Convention on the Elimination of All Forms of Discrimination against Women.

23. Some domestic law reforms have been made to bring domestic legislation more in line with international standards. For instance, the Government made a more detailed categorization of crimes on the basis of *nullum crimen sine lege*. Similarly, in April 2009, the Parliament of the Democratic People's Republic of Korea revised the Constitution to include, among others, a broad provision that the Democratic People's Republic of Korea "respects and protects human rights".[25]

24. A law on the protection of persons with disabilities in 2003 aimed at ensuring equal access for persons with disabilities to public space, transportation and services was also adopted.[26] However, the provisions under the Convention on the Rights of Persons with Disabilities are more far-reaching. I hope they will be studied carefully and adopted by the authorities.

25. In my previous reports to the General Assembly, I have mentioned other areas where reforms are needed to ensure compatibility with international standards. Once again, I encourage the Government to avail itself of the services of the Office of the

[20] E/72004/22, para. 54 i.

[21] CRC/C/PRK/CO/4, para. 61 (d).

[22] Ibid., para. 69.

[23] See chapter V of the Constitution on Naenara, the official webpage of the Democratic People's Republic of Korea: http://www.kcckp.net/en/great/constitution.php.

[24] Other articles such as article 67 that provides freedom of speech, of the press, of assembly, demonstration and association; article 68 that provides for freedom of religious beliefs; article 70 that refers to right to work; article 72 that refers to free medical care, and others, are included in the Constitution.

[25] See article 8 of the Constitution.

[26] See 2006 Analysis of the situation of children and women in the Democratic People's Republic of Korea, p. 44. http://www.unicef.org/dprk/DPRK_Situation_Analysis.pdf.

High Commissioner for Human Rights and the Special Rapporteur for technical assistance in this regard.

D. Human rights monitoring mechanisms

26. As a mechanism to address violations of human rights, the Government of the Democratic People's Republic of Korea has referred to article 69 of the Constitution, which states that citizens are entitled to submit complaints and petitions when a violation occurs. It has further stated that the Law on Complaint and Petition provides procedures for submitting complaints and petitions, as well as procedures in relation to acceptance, registration and investigation of such complaints.[27]

27. During the universal periodic review process, in response to a question on the establishment of an independent national human rights mechanism, the Government of the Democratic People's Republic of Korea initially maintained that the enforcement of human rights in the country lies at all levels of the People's Committee of the State,[28] and that judicial and people's security bodies also discharge the functions of protecting human rights, but later suggested that the Democratic People's Republic of Korea would study the possibility of establishing an independent human rights institution in the country.

28. None of the above-mentioned mechanisms can be considered to be a national human rights institution in line with the 1993 Paris Principles relating to the Status of National Institutions (General Assembly resolution 48/134). Remedies are also hampered by the lack of independence of judicial organs are not independent in the Democratic People's Republic of Korea. For instance, there are constitutional and legislative provisions rendering the Central Court accountable to the Supreme People's Assembly.[29] Furthermore, article 129 of the Criminal Code subjects judges to criminal liability for handing down "unjust judgments". These legal provisions have an adverse impact on the protection of human rights and endanger the independence of the judiciary.[30]

29. I urge the Government of the Democratic People's Republic of Korea to adopt measures to establish an independent human rights mechanism at the earliest and in parallel undertake reforms to ensure the independence of the judiciary.

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[27] See Democratic People's Republic of Korea State party report to the Human Rights Council: www.unhchr.ch/tbs/doc.nsf/(Symbol)/CCPR.C.PRK.2000.2.En?Opendocument.

[28] The Democratic People's Republic of Korea has different levels of the People's Committees. The Central People's Committee, the People's Committee of a province, city, district or county. The Central People's Committee is the top executive decision-making body created under the 1972 constitution. The committee is composed of high officials including the president of the Democratic People's Republic of Korea as head of the Central People's Committee, the vice presidents, the Central People's Committee secretary, and unspecified "members". The other provincial people's committees exercise the function of the local organ of State power, under certain circumstances.

[29] See article 162 of the Constitution.

[30] Article 14.1 of the International Covenant on Civil and Political Rights provides for the independence of the judiciary.

III. Cooperation with international human rights mechanisms

A. Special procedures, including the Special Rapporteur on the situation of human rights in the Democratic People's Republic of Korea and the Working Group on Enforced or Involuntary Disappearances

30. The mandate of the Special Rapporteur on the situation of human rights in the Democratic People's Republic of Korea in 2004 was established by the Commission on Human Rights in its resolution 2004/13. The resolution guides the Special Rapporteur to establish direct contact with the Government and the people of the Democratic People's Republic of Korea, receive credible information from all relevant actors, including non-governmental organizations, Governments, and any other party having knowledge of the human rights situation in the Democratic People's Republic of Korea and through country visits, and to investigate and report on the situation of human rights in the Democratic People's Republic of Korea and on the Government's compliance with its obligations under international human rights instruments. The Special Rapporteur's mandate has subsequently been annually extended through various Human Rights Council resolutions.[31]

31. Since his appointment in August 2010, the current Special Rapporteur has made a number of requests to visit the Democratic People's Republic of Korea in order to better understand the situation in the country, so as to allow him to assist the State in taking appropriate measures for the promotion and protection of human rights.[32] Apart from requesting entry to the country, the Special Rapporteur has requested bi-lateral meetings with the Permanent Mission of the Democratic People's Republic of Korea to the United Nations Offices in Geneva and New York. The Democratic People's Republic of Korea has consistently expressed its rejection of the mandate of the Special Rapporteur, contending that the resolution establishing the mandate "represents an extreme manifestation of politicization, selective and double standards in the area of human rights".[33] As a consequence, the Government has so far refused to cooperate with the Special Rapporteur, denying him entry into the Democratic People's Republic of Korea and meetings with the Permanent Representatives of the Democratic People's Republic of Korea to the United Nations.

32. While unable to visit the Democratic People's Republic of Korea, the Special Rapporteur conducted missions to neighbouring countries: the Republic of Korea (22-26 November 2010) and Japan (25-28 January 2011), based on which he presented his report (A/HRC/16/58) to the Human Rights Council in March 2011.[34]

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[31] The last resolution extending the mandate of the Special Rapporteur for another year is A/HRC/Res/16/8, of 8 April 2011.

[32] The last such request to visit the Democratic People's Republic of Korea on an official mission was made on 17 May 2011, through a letter to the Democratic People's Republic of Korea mission in Geneva.

[33] See for example A/HRC/16/G/2, letter dated 20 January 2011, from the Permanent Mission of the Democratic People's Republic of Korea addressed to the President of the Human Rights Council.

[34] Report of the Special Rapporteur on the situation of human rights in the Democratic People's Republic of Korea, 10 February 2011.

Most recently he conducted a visit to Thailand from 13 to 18 June 2011, on which he will report separately to the General Assembly.

33. Thus far, the Democratic People's Republic of Korea has not invited any thematic special procedure of the Human Rights Council. Since my last report to the General Assembly, three written communications have been addressed to the Government of the Democratic People's Republic of Korea by Special Procedures. In August 2010, the Chair-Rapporteur of the Working Group on Arbitrary Detention and the Special Rapporteur on torture and other cruel, inhuman or degrading treatment or punishment sent a joint communication with regard to Jeong Sang-un, an 84-year-old citizen of the Democratic People's Republic of Korea who allegedly crossed into a neighbouring country and was subsequently returned to the Democratic People's Republic of Korea by the Chinese authorities. It is alleged that once returned to the Democratic People's Republic of Korea, he was sent to Yodok prison camp without having been tried. It was further alleged that at Yodak prison camp food and medication are insufficient and torture and death in custody are widespread.[35] On 17 June 2010, another letter was sent by the Special Rapporteur on extrajudicial, summary or arbitrary executions in relation to the alleged killing of three Chinese citizens at the China-Democratic People's Republic of Korea border. It is reported that the three were within the Democratic People's Republic of Korea territory at the time of the killings.[36] Unfortunately, no response has been received to either of the two communications.

34. On 10 March 2011, the Special Rapporteur on extrajudicial, summary or arbitrary executions sent a communication to the Government of the Democratic People's Republic of Korea regarding 37 reported cases of executions between 2007 and 2010 for "financial crimes", including several following the failure of currency reforms in November 2009. The Special Rapporteur also requested general information on offences for which the death penalty was imposed in the Democratic People's Republic of Korea. In a letter dated 1 April 2011, the Democratic People's Republic of Korea responded by rejecting the allegations and stressing that the information contained in the Special Rapporteur's letter was based on fabrications and plots of forces hostile to the Democratic People's Republic of Korea. In relation to the response from the Democratic People's Republic of Korea, the Special Rapporteur in his annual report to the Human Rights Council noted that the Government did not provide clarification of the allegations raised and failed to address certain issues, including (a) details of all offences for which capital punishment is imposed and (b) information on how the Government complies with international standards to ensure that the death penalty is imposed only for the most serious crimes.[37]

35. In its report (A/HRC/16/48) to the Human Rights Council at its sixteenth session (28 February-25 March 2011), the Working Group on Enforced or Involuntary Disappearances reported that nine cases remained outstanding in relation to the Democratic People's Republic of Korea (14 November 2009-12 November 2010). Of the nine cases, eight relate to the abduction of Japanese nationals in the 1970s and 1980s, while the ninth case relates to the disappearance

[35] See A/HRC/17/28/Add.1, p. 76.

[36] Ibid., p. 50. The Special Rapporteur sent a courtesy copy of the communication addressed to the Democratic People's Republic of Korea to the People's Republic of China.

[37] Ibid., p. 71.

of a young woman at the border between China and the Democratic People's Republic of Korea in 2004. The Government of the Democratic People's Republic of Korea transmitted three communications to the Working Group, dated 18 January 2010, 7 May 2010 and 16 August 2010, in which it replied regarding all outstanding cases. However, the Working Group considers the information provided as insufficient to clarify the cases. All nine cases therefore continued to be pending as of 12 November 2010, with no substantial progress since my previous report to the General Assembly.

36. As it had done previously, the Working Group called upon the Government to sign and ratify the International Convention for the Protection of All Persons from Enforced Disappearance and accept the competence of the Committee under articles 31 and 32.

B. United Nations treaty bodies

37. With regard to engagement with the treaty bodies, as of July 2011, the Government of the Democratic People's Republic of Korea had not yet submitted to the Human Rights Committee its third periodic report on the implementation of the International Covenant on Civil and Political Rights. The report has been due since 1 January 2004. Likewise, the second State party report to the Committee on the Elimination of All Forms of Discrimination against Women on the implementation of the International Convention on the Elimination of All Forms of Discrimination against Women, and the third periodic report to the Committee on Economic, Social and Cultural Rights on the implementation of the International Covenant on Economic, Social and Cultural Rights have been due since March 2006 and 30 June 2008, respectively.

38. In 2009, the Democratic People's Republic of Korea was reviewed by the Committee on the Rights of the Child. While the date for the next review has not yet been announced, the State is expected to submit the fifth periodic report by 20 October 2012. I urge the Democratic People's Republic of Korea to engage with the treaty bodies in accordance with its obligations under the treaties to which it is a party, and submit all outstanding reports in a prompt and timely manner.

C. Universal periodic review of the Human Rights Council

39. In December 2009, the Democratic People's Republic of Korea was reviewed under the universal periodic review process, which was welcomed as an opportunity for positive engagement and seen as encouraging and a positive development. The report of the Working Group of the Universal Periodic Review was adopted at the thirteenth session of the Human Rights Council on 18 March 2010, during which the delegation of the Democratic People's Republic of Korea stated that the Government "took note" of the recommendations without submitting any written position on the recommendations. Although the Democratic People's Republic of Korea has consistently maintained that it would like to engage with the universal periodic review process, there have been no steps by the Government to clarify which of the recommendations it accepts. As of July 2011, no information is available on steps being taken by the Democratic People's Republic of Korea to implement the universal periodic review recommendations.

IV. Role of the Office of the United Nations High Commissioner for Human Rights in assisting the Government of the Democratic People's Republic of Korea

40. In February 2011, the High Commissioner for Human Rights met with the new Permanent Representative of the Democratic People's Republic of Korea to the United Nations in Geneva. The High Commissioner, while raising concerns on the human rights situation in the Democratic People's Republic of Korea reiterated her previous offer to provide technical assistance. She further raised concerns about the unresolved cases of abduction of Japanese nationals. Regrettably, the Government of the Democratic People's Republic of Korea again rejected offers of technical assistance, refused to allow entry to the Special Rapporteur on the situation of human rights in the Democratic People's Republic of Korea and all thematic Special Rapporteurs and stressed that the Democratic People's Republic of Korea considers the question of abductions as resolved.

V. Assistance for the promotion of humanitarian conditions and protection of human rights in the Democratic People's Republic of Korea extended by the United Nations system

41. In preparing the present report, the United Nations High Commissioner for Human Rights invited United Nations entities to provide relevant information to the Office of the United Nations High Commissioner for Human Rights on the situation of human rights in the Democratic People's Republic of Korea to be included in this report. Subsequently, the Office of the High Commissioner received information from WFP, UNICEF, UNDP, United Nations High Commissioner for Refugees, the Office for the Coordination of Humanitarian Affairs, FAO and UNFPA. Based on these inputs, the section below summarizes some of the activities of the United Nations in the Democratic People's Republic of Korea and makes some observations and findings.

A. United Nations Children's Fund

42. Based on the Convention on the Rights of the Child, UNICEF continues to implement activities in the area of protection of child rights in the country, focusing on service delivery for children together with strong advocacy. During the reporting period, efforts were made to undertake joint programming with United Nations agencies and to strengthen approaches to critical cross-cutting concerns such as equity, gender, disaster risk reduction, reliable data collection and planning and monitoring.

43. The completion of the multi-indicator cluster survey that was begun in 2009 provided reputable data that helped in programming and implementing child-related activities in the country. According to the survey, one out of three children is stunted and one out of five is under weight. The geographical variation in stunting among the provinces, ranging from 22 per cent to 46 per cent, was revealed. The survey also showed the incidence of diarrhoea at 14 per cent, noting it was one of the major causes of morbidity among children, also contributing to high mortality figures.

44. The country's vulnerability to natural disasters exacerbates the problems related to water and sanitation. The likelihood of natural disasters has prompted UNICEF to include emergency preparedness in its programming, especially in the area of water, sanitation and hygiene.

45. During the reporting period, the estimated incidence of tuberculosis in the Democratic People's Republic of Korea was 344 cases per 100,000 persons, while malaria had reached its pre-elimination phase. The UNICEF programmes in response to malaria and tuberculosis are being accelerated with the support of the Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM).

46. In 2010, the last year of the previous five-year country programme, the following results were reported in relation to child protection: in the area of health, UNICEF support in routine immunization maintained the high immunization coverage of over 95 per cent. This included support for a nationwide cold chain replacement plan, updating the comprehensive expanded programme on immunization, and distributing essential medicine kits to district hospitals in remote areas. Furthermore, more than 60,000 health workers and nursery caregivers were trained on key health messages. The antenatal care package was updated and health staff was accordingly trained. Information Education and Communication material on safe pregnancy and safe delivery was developed and 1 million copies were provided. Ten emergency health kits were pre-positioned, while the Baby-Friendly Hospital Initiative reached all provinces.

47. With regard to nutrition, work focused on stunting and prevention of malnutrition through promotion of exclusive breastfeeding and appropriate complementary feeding. Micronutrient supplementation was provided and supplements of iron and folic tablets were given to adolescent girls in schools, while Sprinkles, a micronutrient powder was distributed to baby homes and nurseries.

48. Since 2010, GFATM has been supporting the Democratic People's Republic of Korea in the pre-elimination of malaria through a comprehensive approach to malaria control. So far the overall morbidity from malaria has decreased by 50 per cent, and morbidity reduced in higher transmission zones by 70 per cent from 2007 levels. Implementation of the programme included provision of microscopes and reagents to new diagnostic centres as well as distribution of insecticide nets, deltamethrine and equipment for indoor residual spraying.

49. The tuberculosis programme supported the national strategy, which aims to decrease the morbidity and mortality of tuberculosis by half by 2015. Crucial to this was increasing early diagnosis and case detection of all forms of tuberculosis and sustaining uniformly high treatment success rates above 85 per cent across 11 provinces. Procurement of tuberculosis drugs and the renovation and rehabilitation of medical warehouses at central and lower levels began.

B. United Nations Population Fund

50. UNFPA support to the Democratic People's Republic of Korea focused on maternal and neonatal health, family planning, and population and development.

51. The fourth UNFPA country programme 2007-2010, which was guided by the United Nations strategic framework, 2007-2010, and the national reproductive health strategy 2006-2010, helped to: (a) develop national emergency obstetric and

neonatal care training manuals for pre-service and in-service training; (b) support emergency obstetric and neonatal care services (including essential medical supplies and training) in four provinces, covering 11 county hospitals and 273 village clinics; (c) ensure an uninterrupted, nationwide supply of two essential reproductive health drugs to reduce maternal mortality; (d) strengthen the national logistics capacity, using the national logistics management information system established in the central medical warehouse and in three provincial medical warehouses; (e) support studies on reproductive tract infections and cervical cancer; (f) strengthen the capacity of the Central Bureau of Statistics to conduct surveys and the 2008 population and housing census; and (g) provide emergency reproductive health services in 250 village clinics and 10 county hospitals in response to the 2007 floods.

52. In support of the United Nations strategic framework, in July 2010, UNFPA released a country programme document for the Democratic People's Republic of Korea, wherein it proposed that the programme would support the national goal of restoring the quality of life of people to the level achieved before the economic and humanitarian difficulties of the mid-1990s. Building on the results achieved and lessons learned over the years, the programme will be carried out at the national level to: (a) develop capacity in the use of population data for national planning; (b) establish a national policy, guidelines and standards for reproductive health services; and (c) scale up essential and basic reproductive health services through cost-effective interventions. At the grass-roots level, the programme will seek to enhance the quality of reproductive health services and to respond to reproductive health emergency situations in programme areas. The country programme includes two components: (a) reproductive health and rights; and (b) population and development. The reproductive health and rights component will focus on the quality of reproductive health services. The population and development component will support the utilization of gender-disaggregated data and research on population and development.

53. UNFPA and the Government will collaborate with other United Nations organizations to monitor the Millennium Development Goals, provide maternal and child health services, and conduct joint planning and monitoring.

54. UNFPA will implement the programme in collaboration with the State Planning Commission, the Ministry of Public Health, other line ministries, national non-governmental organizations and research institutions.

55. I welcome such joint initiatives and encourage the Government to continue such cooperation with the United Nations entities and broaden its area of cooperation.

C. World Food Programme

56. In response to a request made by the Democratic People's Republic of Korea to WFP for emergency food assistance, a rapid food security assessment by WFP, FAO, UNICEF, as well as observers from non-governmental organizations and donors was undertaken from 21 February to 11 March 2011. The objective was to update the assessment of the cereal import capacity and requirements for the 2010/2011 marketing year (November/October) made by the FAO/WFP crop and food security assessment mission in October 2010 and to estimate food assistance

needs. The rapid food security assessment mission experienced exceptional access and visited 40 counties in 9 of the 11 provinces and municipalities of the Democratic People's Republic of Korea, including 20 counties where WFP did not have operations at that time. The assessment also included visits to state shops, daily markets in province centres and 10 day farmers markets in county centres, thereby gaining insight into the level of food supplies and domestic prices.

57. The rapid food security assessment mission concluded that the Democratic People's Republic of Korea has suffered a series of shocks in recent months, leaving the country highly vulnerable to a food crisis. It was foreseen that the public distribution system will run out of food at the beginning of the lean season, which will substantially increase the risk of malnutrition and other diseases, particularly in food deficit counties. The mission estimated that more than 6 million vulnerable people are in urgent need of international food assistance, due to a substantial reduction of agricultural production and commercial imports, as well as a decrease or curtailment of bilateral assistance.

58. The rapid food security assessment report estimated a cereal deficit (import requirement) of 1,086,000 metric tons for the 2010/2011 marketing year. This was 200,000 metric tons higher than the estimate made by the FAO/WFP crop and food security assessment mission in September/October 2010. During the rapid food security assessment mission, it became clear that the anticipated levels of commercial and government imports of food commodities would not materialize owing to limited foreign currency reserves and high international food and fuel prices. The limitations in food availability affected the government rations distributed through the public distribution system. As reported by the Government, the average public distribution rations for the month of May 2011 was 190 grams per person per day. This is well below the government vision of 573 grams per person per day and the average ration (386 grams per person per day) distributed through the public distribution system during the 2009/2010 marketing year. As for the coming lean season, further constraints for delivering public rations are envisaged.

59. The majority of the population depends on a carbohydrate-based diet with exceptionally low protein, fat, and micronutrient content. The populations living in counties in the north-eastern part of the country, which are mainly mountainous inlands and cereal-deficit zones, are at increased risk of undernutrition. Affected households reported adopting coping strategies to deal with food shortages, including reducing portion size at meal time; reducing the number of meals consumed per day; relying on the support of relatives living in farmer cooperatives; and increasing consumption of wild plants.

60. In line with the recommendations of the rapid food security assessment, an emergency operation "Emergency Food Assistance to Vulnerable Groups in the Democratic People's Republic of Korea" was launched by WFP at the end of April 2011. The WFP emergency operation is designed to support the more than 3.5 million most vulnerable people of the population in 107 counties in 8 provinces with food and nutritional support.

D. Food and Agriculture Organization of the United Nations

61. FAO has continued supporting the government effort to achieve food security through technical assistance in many areas. Currently, FAO is implementing four emergency and rehabilitation projects (provisions of vegetable seed, fertilizer and plastic sheeting and foot and mouth disease vaccination) funded by the Central Emergency Response Fund. Recently phase II of a new emergency technical cooperation project entitled "emergency assistance for early detection, response and control of foot-mouth disease outbreak" has been approved. In addition, together with WFP and UNICEF, FAO carried out a joint food security assessment mission to the Democratic People's Republic of Korea in March 2011, which I have detailed above.

E. Office of the United Nations High Commissioner for Refugees

62. The United Nations High Commissioner for Refugees (UNHCR) notes that there have not been substantial changes during the reporting period with regard to the flow of nationals seeking protection and assistance in neighbouring countries. UNHCR underlines that a number of concerns remain, such as reports of women being subjected to human trafficking and forced marriages; of severe restrictions on movement, including the right to leave the country, which is criminalized under the Penal Code; violations of the fundamental principle of non-refoulement by neighbouring countries; and continued reports of severe punishments in cases of forced return to the Democratic People's Republic of Korea.

63. I am concerned about reports of arrest, detention and in some cases refoulement of asylum-seekers from countries neighbouring the Democratic People's Republic of Korea. I encourage Governments to work closely with UNHCR to end the practice of arrest and detention or refoulement of asylum-seekers. I also urge States to take measures to prevent traffickers from exploiting such asylum-seekers.

F. United Nations Development Programme

64. The UNDP Democratic People's Republic of Korea country office is currently implementing projects in the area of agriculture and food security, rural energy and Millennium Development Goals, approved for resumption by the Executive Board in January 2009.

65. The UNDP country programme for the Democratic People's Republic of Korea for the period 2011 was approved by the Executive Board on 2 February 2011.

66. The UNDP programme in support of sustainable human development to benefit the people directly will focus on three Millennium Development Goal-based priority areas, which include: (a) food security and rural development; (b) socio-economic development; and (c) environment and climate change. The programme activities aim to accelerate the progress of the Democratic People's Republic of Korea towards the attainment of the Millennium Development Goals, as well as enhance standards of living and sustainable livelihoods of the people.

G. World Health Organization

67. I have detailed some of the issues in relation to the health situation in the Democratic People's Republic of Korea, along with some main activities carried out by WHO to help the Government meet its obligations under the International Covenant on Economic, Social and Cultural Rights, in particular article 12 on the right to health. WHO collaborates with the Ministry of Public Health to respond to national priority needs, especially in the areas of maternal, newborn and child health and in combating communicable diseases such as malaria and tuberculosis (in relation to the achievement of Millennium Development Goals 4, 5 and 6).

68. In addressing the needs of the most vulnerable group of mothers, newborn and children, WHO has been facilitating implementation of a multi-year project on improving women's and children's health, the Partnership for Improving Child Survival and Strengthening Local Actions for Improving Child Survival. WHO facilitated the production of a number of evidence-based guidelines and training materials in reproductive, maternal, newborn and child health areas with faculties. Operating theatres and delivery rooms in 100 county hospitals and 1,200 Ri[38] clinics were renovated along with delivery of equipment to 1,200 Ri clinics across different counties, covering a population of approximately 6 million.

69. Essential medicines were provided to all paediatric and maternity hospitals and essential newborn care kits to 3 provincial hospitals, 30 county hospitals and 685 Ri clinics. Appropriate information, education and communication material has been developed to improve knowledge and raise awareness among families and communities on maternal and child health issues.

70. In order to improve access to safe blood, 8 provincial and 40 county blood centres were upgraded, which benefited more than 7 million people. Laboratory services were strengthened with supplies and equipment in more than 40 county hospitals, serving a population of about 1.6 million. Emergency services have been improved with support for emergency rooms, and 42 ambulances were provided to provinces and counties.

71. The WHO country office supported development of the Medium-term Strategic Plan for Development of Health Sector in the Democratic People's Republic of Korea 2010-2015, which articulates the country's key health priorities, strategic actions and funding requirements. The plan aims to increase internal efficiency by improving operational planning and can serve as a resource mobilization tool.

72. To improve accessibility and availability of health services, especially quality diagnostic and expert services, WHO supported the establishment of Telemedicine Centres, connecting central level hospitals with all provincial hospitals.

VI. Conclusions and recommendations

73. **The United Nations system is pleased to assist the Democratic People's Republic of Korea authorities in meeting the severe challenges posed to fulfil economic, social and cultural rights. However, I am concerned about the situation of women and children in the Democratic People's Republic of Korea,**

[38] A county is further subdivided into smaller geographic areas called Ri.

who are most vulnerable to the current human rights and humanitarian situation in the country. In this respect, I urge the Government of the Democratic People's Republic of Korea to take immediate steps to secure the rights to food, water sanitation and health and allocate greater budgetary resources for these purposes.

74. **I urge the Government of the Democratic People's Republic of Korea to take note of the wide range of human rights concerns raised in the report and respond by taking measures to respect the people's right to freedom of thought, conscience and religion; the right to freedom of assembly; and the right to freedom of opinion and expression. The Government of the Democratic People's Republic of Korea should improve conditions in prisons and detention centres, release political prisoners, adopt a moratorium on capital punishment and put an end to public executions immediately.**

75. **I call upon the Government of the Democratic People's Republic of Korea to submit outstanding reports to treaty bodies on the implementation of the International Covenant on Civil and Political Rights, the International Covenant on Economic, Social and Cultural Rights and the Convention on the Elimination of All Forms of Discrimination against Women.**

76. **I am disappointed that the Democratic People's Republic of Korea has not made full use of the universal periodic review process or accepted the offer of OHCHR to provide technical assistance. I urge the Democratic People's Republic of Korea to engage with the Office of the United Nations High Commissioner for Human Rights and use its expertise in improving its human rights record. In addition, I call on the Democratic People's Republic of Korea to communicate its position on the conclusions and recommendations of the universal periodic review to the Human Rights Council at the earliest.**

77. **I urge the Government to provide access to the Special Rapporteur on the situation of human rights in the Democratic People's Republic of Korea and to thematic Special Procedures to observe the situation of human rights in the country, as a part of its cooperation with United Nations human rights mechanisms.**

78. **I encourage the Government to take steps necessary for the establishment of an independent human rights institution in the country, create a conducive environment for the functioning of national non-governmental organizations and provide access to international human rights non-governmental organizations.**

79. **I wish to remind neighbouring countries and the international community in general of their obligations under the 1951 Convention relating to the Status of Refugees to provide protection to those fleeing the Democratic People's Republic of Korea and seeking asylum. The fundamental principle of non-refoulement applies to all.**

80. **While welcoming the cooperation and access extended by the Democratic People's Republic of Korea to WFP, UNICEF and FAO to conduct a food assessment, I call upon the Government to provide similar access to all United Nations entities, which could facilitate a better understanding of the needs of the people.**

81. **I urge the international community to step up its efforts and provide humanitarian aid, especially food and medical assistance, to the people of the Democratic People's Republic of Korea. In this regard, I appeal to the international community to continue its efforts to encourage improvements in the human rights and humanitarian situation of the people of the Democratic People's Republic of Korea.**

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Promotion and protection of human rights: implementation of human rights instruments

Measures to improve further the effectiveness, harmonization and reform of the treaty body system

Report of the Secretary-General

Summary

The present report is submitted pursuant to General Assembly resolutions 65/200 and 65/204, in which the Assembly requested the Secretary-General to submit to it, at its sixty-sixth session, concrete and tailored proposals on the human rights treaty bodies building on the work of the Secretary-General pursuant to Human Rights Council resolution 9/8 of 24 September 2008 and of the treaty bodies in this regard, to improve their effectiveness and to identify efficiencies in their working methods and resource requirements in order to better manage their workloads, bearing in mind budgetary constraints and taking into account the varying burdens on each treaty body. The report also addresses Assembly resolution 64/173, in which the Assembly requested the chairs of the human rights treaty bodies to submit, through the United Nations High Commissioner for Human Rights, specific recommendations for the achievement of the goal of equitable geographical distribution in the membership of the human rights treaty bodies, for consideration by the Assembly at its sixty-sixth session.

The report provides information on the workloads faced by the treaty bodies and the current use of available resources. It also provides an update on the ongoing treaty body strengthening process, which is a process of reflection by relevant stakeholders, including treaty body experts, States parties, United Nations partners, national human rights institutions and civil society, on ways and means to strengthen the treaty body system. While noting that the proposals stemming from this process, including on the question of strengthening independence, availability and

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competence in the election of members and during their terms, will be compiled in a report that the High Commissioner will launch in 2012, the present report makes two proposals as to how current backlogs could be tackled in the short term and on how the system could work over the long term, without creating further backlogs in the future.

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I. Introduction

1. In its resolutions 65/200 and 65/204, the General Assembly authorized additional meeting time for the Committee on the Elimination of Racial Discrimination and the Committee against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, and requested the Secretary-General to submit to it, at its sixty-sixth session, concrete and tailored proposals on the human rights treaty bodies,[1] building on the work of the Secretary-General pursuant to Human Rights Council resolution 9/8 of 24 September 2008[2] and of the treaty bodies in this regard, to improve their effectiveness and to identify efficiencies in their working methods and resource requirements in order to better manage their workloads, bearing in mind budgetary constraints and taking into account the varying burdens on each treaty body.

2. The current arrangements have not allowed the treaty bodies to respond to their ever-growing workloads. In fact, the increasing workloads of all the treaty bodies have never been comprehensively costed, which has consequences for the timeliness with which the treaty bodies discharge the mandates entrusted to them under the treaties. In response to requests by the General Assembly, a review of extrabudgetary and regular resources available to all treaty bodies was undertaken by the Office of the United Nations High Commissioner for Human Rights (OHCHR). Resources related to conference management were also considered. Workloads for nine treaty bodies were reviewed (the Committee on Enforced Disappearances has not yet received reports and is to begin its work in November 2011).

3. The treaty bodies are empowered by the treaties to adopt their own working methods and rules of procedure. In recent years, in the light of the challenges facing the system and with the encouragement of States parties, considerable efforts have been made by the treaty bodies to harmonize and improve their working methods and increase their efficiency and effectiveness. The United Nations High Commissioner for Human Rights has further encouraged this effort by initiating a process of reflection on the future of the system, a process to be concluded at the end of 2011. To date, the process has demonstrated that, in view of the complexity of the system, further time is required before the full implications of different proposals made to date can be assessed. And while not pre-empting the High Commissioner's compilation of proposals, which will be made available during the treaty body strengthening process, the present report presents two approaches to address the concerns of States parties as to the current, seemingly ad hoc, nature of requests by the treaty bodies for additional meeting time. According to the first proposal, the Secretariat would present, on a biennial basis, an adjusted comprehensive request for meeting time based on the number of reports submitted by States parties. For the biennium 2010-2011, the treaty body system would require

[1] Human Rights Committee, Committee on Economic, Social and Cultural Rights, Committee on the Elimination of Racial Discrimination, Committee on the Elimination of Discrimination against Women, Committee against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, Subcommittee on Prevention of Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, Committee on the Rights of the Child, Committee on the Protection of the Rights of All Migrant Workers and Members of Their Families, Committee on the Rights of Persons with Disabilities, Committee on Enforced Disappearances.

[2] See *Official Records of the General Assembly, Sixty-third Session, Supplement No. 53A* (A/63/53/Add.1), chap. I.

a number of additional working weeks, in order to allow it to eliminate the current substantial backlog of State party reports pending review by the treaty bodies. The alternative to adjusting the calendar on a biennial basis would be to establish a fixed calendar, based on an assumed 100 per cent compliance by States parties with their reporting obligations.

4. The present report also addresses General Assembly resolution 64/173, in which the Assembly requested the chairs of the human rights treaty bodies to submit to it, at its sixty-sixth session, through the High Commissioner, "specific recommendations for the achievement of the goal of equitable geographical distribution in the membership of the human rights treaty bodies".

II. Challenges of workload and resource requirements resulting from the expansion of the treaty body system

5. The treaty body system is one of the success stories in the efforts by the United Nations to promote and protect human rights. Based on their legal commitments under the core international human rights treaties,[3] which they have ratified, States parties report periodically and publicly to the treaty bodies, which in turn assess the degree of fulfilment in implementing the treaties. This ongoing dynamic reporting function allows for a participatory process at the national level, which places human rights at the centre of governance. In addition, a number of treaties foresee the possibility for individuals and groups to present complaints about alleged violations of the treaties. The treaty body reporting process, with a follow-up function built into its periodicity, along with the individual communications procedures, represent crucial elements for ensuring the effective protection of all rights holders everywhere in the world. At the same time, the treaty bodies' independence guarantees a non-selective approach to all human rights, and their legal nature keeps them removed from risks of politicization. The accuracy and quality of the recommendations made by the treaty bodies are crucial attributes that need to be maintained and enhanced so that treaty body recommendations can be used effectively by all stakeholders to promote change at the national level.

6. However, the expansion of the treaty body system over the past 10 years brings with it a number of challenges in terms of workload and human and budgetary resource requirements. The expansion results from (a) the adoption of new instruments, resulting in the creation of new treaty bodies; (b) the expansion of the functions of existing bodies; and (c) the increased ratifications of existing treaties and optional protocols, which generate an increased workload in the form of reports and individual communications to be examined. Increased ratification has also triggered an increase in the membership of some treaty bodies, in accordance with the relevant treaty provisions.

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[3] International Covenant on Civil and Political Rights, International Covenant on Economic, Social and Cultural Rights, International Convention on the Elimination of All Forms of Racial Discrimination, Convention on the Elimination of All Forms of Discrimination against Women, Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, Convention on the Rights of the Child, International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families, Convention on the Rights of Persons with Disabilities, International Convention for the Protection of All Persons from Enforced Disappearance.

Adoption of new instruments

7. Since the adoption in 1965 of the first human rights treaty, the International Convention on the Elimination of All Forms of Racial Discrimination, the human rights treaty system has grown continuously and today consists of nine core treaties and eight optional protocols. With each new treaty comes a treaty body mandated to promote implementation of the treaty. In the past decade, four new treaty bodies have been created: the Committee on the Protection of the Rights of All Migrant Workers and Members of Their Families, the Committee on the Rights of Persons with Disabilities, the Subcommittee on Prevention of Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment, and the Committee on Enforced Disappearances. Some treaty bodies have received additional mandates, for instance to consider individual complaints, through the adoption of optional protocols. Two new optional protocols have entered into force in the past five years and another one is under consideration.[4] Each addition to the system generates extra workload for the treaty bodies and the Secretariat.

Increased ratification of instruments

8. One positive side-effect of the introduction of the universal periodic review of the Human Rights Council has been increased ratification and, increasingly, more timely reporting by States under the international human rights treaties. In 2000, there were a total of 927 ratifications of the six core international human rights treaties. By August 2011, this figure had risen to 1,206 ratifications to the nine core international human rights treaties. Each ratification has a direct impact on the workload of the treaty bodies, since each State party is required to submit reports periodically to them for review. The two Optional Protocols to the Convention on the Rights of the Child include a separate one-time reporting requirement, and the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment is mandated to undertake country visits, but has no reporting requirement as such.[5] The increase in ratifications is reflected in the increased number of reports due, even while taking into account that approximately one third of States submit their reports according to the due dates established in the treaties. As of May 2011, 621 reports were overdue, as detailed in table 1.

[4] The two optional protocols are the Optional Protocol to the Convention on the Rights of Persons with Disabilities and the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment. The Optional Protocol to the International Covenant on Economic, Social and Cultural Rights has not yet entered into force. A draft text for a third optional protocol to the Convention on the Rights of the Child on a communications procedure was adopted by the Human Rights Council in June 2011.

[5] The two Optional Protocols to the Convention on the Rights of the Child, which came into force in 2002, impose additional reporting obligations on States parties and have between them 284 ratifications. This has resulted in a temporary additional workload for the Committee on the Rights of the Child to consider initial reports. Including ratifications of the two Optional Protocols under the Convention on the Rights of the Child and the Optional Protocol to the Convention against Torture, the total number of ratifications amounts to 1,550 States parties, as of August 2011.

Table 1
Overdue reports

Treaty	*Number of initial reports*	*Number of periodic reports*
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment	30	28
International Covenant on Civil and Political Rights	30	61
International Convention on the Elimination of All Forms of Racial Discrimination	14	78
Convention on the Elimination of All Forms of Discrimination against Women	15	38
International Covenant on Economic, Social and Cultural Rights	38	45
International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families	22	4
Convention on the Rights of the Child	3	51
Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict	51	Not applicable
Optional Protocol to the Convention on the Rights of the Child on the sale of children, child prostitution and child pornography	72	Not applicable
Convention on the Rights of Persons with Disabilities	41	
Total	**316**	**305**

9. Similarly, increased acceptance of the individual communications procedures creates additional work for the treaty bodies, as it enables a larger number of groups and individuals to present complaints about alleged violations of the treaties.[6] The number of country visits that should be conducted by the Subcommittee on Prevention of Torture also grows, with each new ratification of the Optional Protocol to the Convention against Torture. As of August 2011, there were 378 acceptances by States of the competence of treaty bodies to receive individual communications. At the moment, the total number of cases submitted under the communications procedures and pending decision by the respective treaty body is 459 (of which 333 cases for the Human Rights Committee and 103 for the Committee against Torture). The Human Rights Committee adopts an average of 30 final decisions concerning individual communications at each of its sessions, representing a total of about 90 final decisions every year, and registers on average, over 100 cases per year, a figure that is likely to increase. Both States parties and petitioners have been complaining about the length of time it takes for both the

[6] Competence to consider individual communications may be conferred on certain treaty bodies by means of ratification of the relevant optional protocols (in the case of the Committee on Economic, Social and Cultural Rights, the Human Rights Committee, the Committee on the Elimination of Discrimination against Women, the Committee on Migrant Workers and the Committee on the Rights of Persons with Disabilities), or by a declaration under the relevant provision of the treaty in question (art. 14 of the International Convention on the Elimination of All Forms of Racial Discrimination; art. 22 of the Convention against Torture; art. 77 of the International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families; and art. 31 of the International Convention for the Protection of All Persons from Enforced Disappearance). The competence of two treaty bodies (the Committee on Economic, Social and Cultural Rights and the Committee on Migrant Workers) has not yet entered into force.

Human Rights Committee and the Committee against Torture to take a final decision in cases submitted to them. Sufficient time and resources for the consideration of individual communications needs to be provided.

10. Under the terms of the relevant treaties, increased ratifications have triggered increases in membership for the Committee on the Rights of the Child, the Committee on Migrant Workers, the Committee on the Rights of Persons with Disabilities and the Subcommittee on Prevention of Torture, raising the total number of treaty body experts from 74 in 2000 to 172 in 2011. Increased membership eases the heavy workload that must be entrusted to individual members, but results in increased costs in terms of travel, daily subsistence allowance entitlements and support from OHCHR staff (e.g. in assisting experts before, during and after the sessions). At the same time, increased membership does not necessarily increase the capacity of the committee as a whole to discharge its work, as the adoption of all conclusions must be approved in plenary. The increasing workload has obliged the treaty bodies to experiment with different ways of operating. While this improves efficiency, it also incurs significant costs, such as meeting in parallel chambers or scheduling more State party reports per session by reducing the amount of formal meeting time reserved for each report. Despite such measures, many treaty bodies still do not manage to keep pace with the reports they receive.

Current backlogs of reports and individual communications pending consideration

11. As of May 2011, 263 reports were pending consideration under the nine treaty bodies with a reporting procedure (excluding the Committee on Enforced Disappearances). In addition, as mentioned in paragraph 9 above, 459 communications submitted under the relevant individual complaints mechanisms are also pending consideration by the treaty bodies concerned.

12. The Committee on the Rights of Persons with Disabilities is a good illustration of the severity of the situation. The initial reports under the Convention were due in 2010; as of July 2011, 16 initial reports had been submitted, from a total of 90 reports due from States parties by the end of 2011. The Committee requires one full day (two meetings) for each review and a half day for discussion and adoption of concluding observations. With only two weeks of meetings currently allocated per year, the Committee's approved meeting time is vastly insufficient and the backlog is set to increase.

Requests for additional meeting time

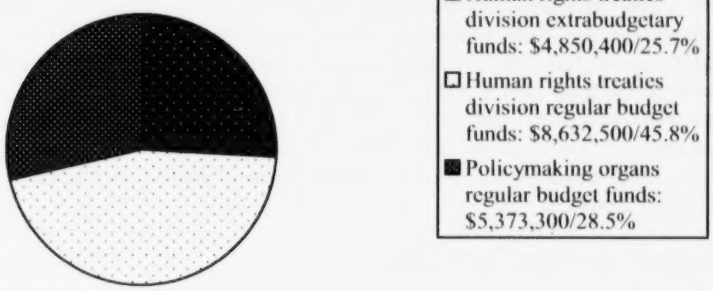
13. The total meeting time devoted to the work of the treaty bodies has risen during the past decade from 51 weeks in 2000 to 72 weeks for 2011. Some of this increase results from the advent of new treaty bodies (10 weeks). In recent years, faced with increasing backlogs of reports and communications, some treaty bodies have requested additional meeting time, which has been granted in most cases on a temporary basis, although the General Assembly, in its resolution 62/218 did grant one extra annual session to the Committee on the Elimination of Discrimination against Women on an indefinite basis. An evaluation of the use of additional meeting time by the human rights treaty bodies was presented to the General Assembly in August 2010 (A/65/317). One of its conclusions was that "requests for additional meeting time are symptomatic of the increasing workload faced by the human rights treaty body system as a whole". Present allocations of meeting time to

treaty bodies remain inadequate and the current arrangements for approving meeting time do not allow the treaty bodies the flexibility to respond to increases in their workload in a timely fashion. Consequently, reports cannot be reviewed expeditiously and, as the information in reports becomes outdated, they require updating, resulting in higher costs and longer delays owing to the need for increased research and discussion by the treaty body as well as supplementary documentation (list of issues and replies thereto). At some point, when the delays in reviewing State party reports exceed the periodicity foreseen under the relevant treaty, the system will collapse.

III. Human and financial resources supporting treaty body work

14. The Division of Conference Management of the United Nations Office at Geneva provides conference services to the treaty bodies, while OHCHR provides substantive and secretariat support. As the activities and services in support of the treaty bodies are mandated by the international treaties, they are core activities of the Organization and should be financed from the regular budget. This has not proved sufficient, however, and OHCHR additionally draws on voluntary contributions in order to more adequately support the treaty bodies. In 2010, voluntary contributions accounted for 25.7 per cent of the total resources utilized by OHCHR for this purpose. In 2010, the amount of $18,856,200 (from the regular budget and extrabudgetary resources, as illustrated in the figure below) was available from the human rights programme, while an amount of $30 million was estimated to have been used from the conference management side.

2010


Human rights treaties division extrabudgetary funds: $4,850,400/25.7%
Human rights treaties division regular budget funds: $8,632,500/45.8%
Policymaking organs regular budget funds: $5,373,300/28.5%

15. While the committee members do not receive a salary for the work they accomplish, the United Nations covers the cost of their travel to participate in the sessions of the committees. This accounts for a large percentage of the overall costs of the treaty bodies. The budget for their travel has increased from $4,323,900 for the biennium 2000-2001 to $10,746,500 for the biennium 2010-2011, a reflection of the increase in membership from 74 experts in 2000 to 172 experts in 2011. The actual costs have outpaced the increase in the approved budget. The expansion of the system has also had a significant impact on staffing to support its functioning. In 2010, approximately 30 staff members were employed to assist the professional treaty

body secretaries that support the nine committees (excluding the new Committee on Enforced Disappearances). This included staff funded from voluntary contributions. A review of the workload for all committees estimates that the staff level fell 14 members short of minimum staffing requirements to provide adequate support.

16. Each increase in the size and scope of the treaty body system generates additional resource requirements. While accepting many of these increases, the General Assembly has not in general provided the full amount of corresponding resources needed. Recent examples include the approval of temporary additional meeting time for the Committee against Torture and the Committee on the Elimination of Racial Discrimination, for which no additional staff were approved, and the growth in membership and corresponding workload of the Subcommittee on Prevention of Torture, for which only a portion of the additional support staff was approved. Also, while States continue to ratify treaties and report more regularly, the increased workloads for the committees and the supporting staff have never been reflected through commensurate supplementary resources for each treaty body. It is noteworthy that the permanent annual meeting time allocation of the oldest treaty body, the Committee on the Elimination of Racial Discrimination, remains what it was in the mid-1970s, yet the number of States parties has more than doubled.[7] It may be time for a wholesale review of the resource requirements of the treaty system that will enable it to function optimally.

IV. Towards a proper mechanism for assessing the meeting time and resource requirements of the treaty bodies

17. Under the terms of each treaty, treaty bodies are empowered to adopt their own rules of procedure and working methods, leading to some variations in the way in which they each undertake their work. There are also variations in the treaties concerning periodicity for the submission of reports, ranging from one to two years for initial reports and from two to five years for subsequent periodic reports. This has an impact on the potential workload of each committee. These variations should be borne in mind when drawing comparisons between the different committees.

Current use of meeting time

18. While the treaty bodies are confronted with a wide range of demands on their time, the core activity for 9 of the 10 treaty bodies remains the consideration of State party reports.[8] A review of the use of meeting time in 2010 revealed that treaty bodies used on average 81 per cent of their time for the review of reports and, if so mandated, individual communications.[9] This includes the analysis of the State party

[7] In 1975, when there were 84 States parties, the Committee met for two sessions of three weeks each. By August 2011, there were 174 States parties. The temporary annual additional meeting time of two weeks will expire at the end of 2012.

[8] The tenth treaty body is the Subcommittee on Prevention of Torture, which is mandated to conduct visits in places where people are deprived of their liberty.

[9] The Committee on the Rights of Persons with Disabilities is not included in this global figure for 2010, as the Committee was still in the process of elaborating and adopting its rules of procedure, reporting guidelines and working methods at the time. The mandate of the Subcommittee on Prevention of Torture being different from that of the other treaty bodies, it is similarly not included.

reports; the preparation and adoption of lists of issues, or, the preparation and adoption of lists of issues prior to reporting; the organization of formal meetings with relevant stakeholders in the context of the reporting procedure; the holding of the dialogue with the State party delegations; the adoption of concluding observations and follow-up to treaty body recommendations; and the consideration of individual communications, for those treaty bodies so mandated.

19. The remaining 19 per cent of treaty body meeting time in 2010 was used for activities such as the formal opening and closing of sessions; informal meetings with States parties; the elaboration of general comments or recommendations; days of general discussion; the adoption or revision of rules of procedure and reporting guidelines; inquiries; and the early-warning measures and urgent action procedures of the Committee on the Elimination of Racial Discrimination. It should be noted that almost half of this meeting time was used by the treaty bodies to discuss improvement and harmonization of their working methods, including new reporting methods such as the lists of issues prior to reporting, which, with their corresponding replies, replace the traditional State party report. In addition, OHCHR facilitated well-attended retreats for all treaty bodies, held on Saturdays, while treaty body experts were in session in Geneva, between October 2010 and May 2011, to discuss such issues. Discussions on the improvement and harmonization of working methods have become even more important in the context of the ongoing treaty body strengthening process and further to the request from State parties for proposals to be more efficient.

Allocation of meeting time for consideration of reports

20. Treaty bodies normally spend one full day to consider a State party periodic report in plenary, approximately half a day per report to prepare for the face-to-face dialogue with the State party delegation (usually through the adoption of lists of issues in a pre-sessional working group), and another half a day per report to adopt the corresponding concluding observations. Thus, with slight variations, the treaty bodies generally follow an allocation of two full days of formal meeting time per State party report, which they consider adequate to undertake a proper evaluation of the situation of human rights in a State under review. This translates into an average of 2.5 State party reports that can be reviewed per week, if the treaty body focuses only on the review of State party reports.

21. At present, only one third of States parties comply in a timely manner with their reporting obligations[10] and, even at this poor level of compliance, the treaty bodies are faced with serious difficulties to address the current workload. The observation, made by an independent expert reporting on the same issue to the United Nations in 1997, that the treaty system "can function only because of the large-scale delinquency of States" remains true today (see E/CN.4/1997/74, para. 48). The first treaty bodies' calendars of meetings were established on the basis of reports received rather than the total number of reports due for each treaty. This has become the pattern with respect to all the treaty bodies, which has resulted in the situation today where any increase in meeting time must be justified as an exception from the norm, rather than approved within the parameters of the normal workload of a committee deriving from its treaty mandate.

[10] The percentage of timely submission to treaty bodies for the period 2008-2010 is: 35.1 per cent.

Options for a better allocation of meeting time and resources

22. To provide the treaty bodies with sufficient meeting time to undertake their work in considering State party reports efficiently and effectively, two options might be considered: (a) an interim biennial calendar reflecting temporary increases in meeting time, sufficient to enable the treaty bodies to eliminate the backlog of reports actually pending examination; or (b) a permanent biennial fixed calendar, which allocates meeting time according to the number of States parties and the number of reports due. It should be noted that the two options are mutually compatible.

Interim biennial calendar: allocation of meeting time according to the actual backlog of reports pending and projections of reporting rates

23. The first option presented is the idea of an interim biennial calendar to tackle the current backlogs in reports pending consideration (263 reports as of May 2011) and prevent the establishment of new backlogs. It would seek to introduce an element of flexibility into the current arrangement, allowing the treaty bodies to request an allocation of meeting time for each biennium based on the actual backlog of reports pending and projected rates of reporting by States. The aim would be to allow sufficient meeting time to be allocated in each biennium to prevent backlogs from becoming unmanageable. It would allow the long-term management of the workload in accordance with fluctuations in the receipt of reports and individual communications.

24. To illustrate this proposal on the basis of current needs: in order to review the 263 reports currently pending consideration by the treaty bodies, a total of 106 weeks are required collectively by the treaty bodies. This figure does not include meeting time for other activities, including consideration of individual communications. The figures for each committee are specified in table 2.

Table 2
Current backlog of pending reports and meeting time requirements to eliminate the backlog

Treaty	*Number of reports pending before the committee (as of 3 May 2011)*	*Number of weeks required to consider the backlog of reports (based on 2.5 reports in five days)*	*Approved allocation (in weeks) of annual meeting time in 2012 (excluding time used for individual communications)*
International Convention on the Elimination of All Forms of Racial Discrimination	15	6	7
International Covenant on Economic, Social and Cultural Rights	43	17	8
International Covenant on Civil and Political Rights	23	9	6
Convention on the Elimination of All Forms of Discrimination against Women	44	18	12
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment	28	11	7
Convention on the Rights of the Child	52	21	12
Optional Protocol to the Convention on the Rights of the Child on the sale of children, child prostitution and child pornography	19	8	[a]
Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict	20	8	[a]
International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families	9	4	3
Convention of the Rights of Persons with Disabilities	10	4	2
International Convention for the Protection of All Persons from Enforced Disappearance	—	—	2
Total	**263**	**106**	**59**

[a] See para. 27 below.

25. The figures indicate that the current allocation of meeting time is insufficient to deal with the current backlog of reports pending consideration while keeping abreast of additional reports continuously being received. When other activities are taken into account, and in particular the backlog of individual communications faced by some committees, the shortfall is greater still. Precise figures are difficult to pinpoint since reports are continuously being received and reviewed. While some delay is necessary between receipt and review of a report in order to prepare for the review process, reports should not normally be pending for more than one year. However, as a minimum requirement, the treaty bodies need approximately 106 weeks to review the reports currently pending before them within a one-year time frame, whereas the allocation (for 2012) is 59 weeks to review State party reports. In other words, there is a shortfall of a minimum of 47 weeks for the next year, based on the assumption that current reporting levels are maintained (around 140 reports received annually).

26. In order to continuously tackle workloads adequately, for each biennium the situation would need to be reassessed within the context of the regular budget submission and based on the actual number of incoming reports.

Permanent biennial calendar: allocation of meeting time according to number of reports due

27. This option would reinforce the universal and non-discriminatory nature of the work of the treaty bodies, by allocating the full amount of meeting time required to accommodate compliance by States parties with their reporting obligations. As an example, a treaty that provides for a reporting periodicity of four years and which is ratified by 160 States parties would have to consider 40 reports per year. Given that a committee can examine approximately 2.5 State party reports per week, the treaty body would have to meet for 16 weeks annually. The Convention on the Rights of the Child, as a convention that has nearly reached universal ratification but has a five-year reporting periodicity, would require a similar figure (15.5 weeks per year) to deal only with the reports due under the Convention on the Rights of the Child. However, it also needs additional time, for the foreseeable future, to review the considerable number of initial reports under the two Optional Protocols (see table 22).

28. The meeting time required by all nine treaty bodies that consider State party reports could be consolidated in a comprehensive meeting calendar, which could ensure that no State party is confronted with requests to report to and dialogue with an unmanageable number of treaty bodies one year, and few or none another year. Care could be taken to ensure an orderly and reasonable lapse of time between deadlines and the sessions at which a delegation is expected, with respect to each State party.

29. This option would provide certainty for the treaty bodies and for States parties. It would eliminate the ad hoc nature of the current requests for additional meeting time, making them a permanent feature of the budgetsetting process. It would depend on strict compliance with reporting obligations, which would be strongly encouraged by the new procedure currently being tested by some treaty bodies[11] of preparing lists of issues prior to reporting.[12] If a State failed to report, the review could proceed even in the absence of a report. The need for meeting time would therefore remain constant. This solution would enhance the efficiency of the treaty bodies' working methods as well as the effectiveness of the reporting process as an aid to successful implementation, by all States parties, of their human rights obligations. By not depending on the willingness or initiative of a State party to submit a report, but rather ensuring periodic scrutiny of all States parties on an equal basis in accordance with a calendar known well in advance to all stakeholders, this option would enhance predictability, facilitate planning by all, and improve the effectiveness and outreach of the treaty bodies. Best practices could be imported from the Human Rights Council which has adopted a similar calendar for its universal periodic review. At the same time, treaty bodies would need to meet for more time each year, making them more costly than now to support. In conclusion,

[11] This new optional reporting procedure has been adopted by the Committee against Torture, the Human Rights Committee and the Committee on Migrant Workers.

[12] In the experience of the treaty bodies that have adopted this procedure, States parties are much more likely to send replies to a tailored list of issues, as is the list of issues prior to reporting, than to respond to a general reminder to submit a report according to generic reporting guidelines.

if the nine treaty bodies with a reporting procedure, including the newly established Committee on Enforced Disappearances, were to adopt this idea, some treaty bodies would be in session for over a third of the year, without having reviewed individual communications or undertaken other tasks.

30. The figures under this option for each treaty body, based on current ratifications, are presented in table 3.

Table 3

Meeting time requirements for consideration of State party reports based on a permanent biennial calendar for review of all States parties within the reporting cycle

Treaty	*Number of States parties (number of reports due in reporting cycle)*	*Reporting cycle (years)*	*Number of weeks required annually to consider reports (based on 2.5 reports in five days)*	*Approved allocation of annual meeting time (in weeks) and per treaty body for all its mandated activities*
International Convention on the Elimination of All Forms of Racial Discrimination	174	2 (4)[a]	18	6
International Covenant on Economic, Social and Cultural Rights	160	5[b]	13	8
International Covenant on Civil and Political Rights	167	4[b]	17	12
Convention on the Elimination of All Forms of Discrimination against Women	187	4	19	14
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment	149	4	15	6
Convention on the Rights of the Child	193	5	16	12
International Convention on the Protection of the Rights of All Migrant Workers and Members of Their Families	44	5	4	3
Convention of the Rights of Persons with Disabilities	103	5	9	2
International Convention for the Protection of All Persons from Enforced Disappearance	29	2[c]	6	2
Total	**1 206**	**Not applicable**	**117**	**65**

[a] The Convention sets a periodicity of reports every two years. In practice, the Committee normally accepts combined reports every four years.

[b] The covenants do not establish a fixed periodicity. The Committee on Economic, Social and Cultural Rights has established a five-year cycle. The Human Rights Committee, in its concluding observations, sets a date for the next report, which is, on average, expected within four years.

[c] The Convention only requires an initial report within two years of ratification. The Committee will determine subsequent reporting requirements.

31. The figures indicate that the current allocation of meeting time of 65 weeks to deal with State party reporting, individual communications and other matters, is insufficient. If they were to concentrate only on reviewing State party reports, from all States parties, treaty bodies would require a minimum of 117 weeks of meetings, annually. In addition, they would require time for other mandated activities, including the consideration of individual communications.

Calculation of resources

32. An approximate estimate of resource requirements to extend, for five days, a meeting in Geneva, based on a treaty body with 18 members working in four languages (including interpretation and translation of some 270 pages, i.e. reviewing 2.5 State party reports during that week), would be, as a minimum, around USD 630,000 (of which USD 520,000 for conference services, around USD 78,000 for the daily subsistence allowance of the experts and around USD 32,000 to cover 2.5 work months of a P-3 staff member[13]). In cases where a committee cannot tackle the review of all State party reports and/or its backlog through adding additional meeting time to an existing session, and would need an additional session to do so, in addition, around USD 68,000 would be required to cover the travel costs of 18 experts to Geneva.

V. Action of the Office of the United Nations High Commissioner for Human Rights to increase the efficiency of the treaty body system

33. While facilitating the comprehensive treaty body strengthening process involving all stakeholders, the Office of the United Nations High Commissioner for Human Rights is conducting, in parallel, a number of activities to increase the efficiency of the treaty bodies within existing resources and constraints.

34. The Office significantly enhanced its flow of information towards the treaty body experts, special procedures mandate holders, United Nations partners, national human rights institutions and non-governmental organizations, with a view to increasing coherence and consistency of the outputs of the different human rights mechanisms. The Universal Human Rights Index, hosted on the website of OHCHR, is an important reference tool in this regard, which increases the visibility and accessibility of the treaty body system. It compiles recommendations made by all human rights mechanisms in a database, searchable by themes or countries. The idea of webcasting of all treaty body sessions has increasingly being proposed, by different stakeholders, during the consultations that have taken place in the context of the treaty body strengthening process.

35. The Office also contributes to the effective implementation, at the national level, of treaty body and other human rights mechanism recommendations by responding to requests from States parties for trainings on reporting to the treaty bodies and follow-up to concluding observations, often in partnership with other organizations. OHCHR contributes to the extent possible to such activities,

[13] As estimated by the Office of the United Nations High Commissioner for Human Rights, based on experience in servicing treaty bodies at 20 work days per State party report.

including by tailoring training materials to targeted audiences and through sending resource persons from its staff or the treaty bodies.

36. The treaty bodies themselves have taken a number of positive initiatives such as the progressive harmonization of treaty body procedures and working methods (common treaty body approach to reservations, consolidated guidelines for the common core document and treaty-specific documents, establishment of a working group on common approaches to follow-up). States parties have welcomed this harmonization process, and several (46 to date) have submitted common core documents and treaty-specific documents.

37. As the most recent example, the Committee on Economic, Social and Cultural Rights, which was the only treaty body reviewing State party periodic reports over the course of three meetings, has taken a decision, in principle, to reduce this consideration to two meetings, as is done by all other treaty bodies, in order to alleviate its backlog by considering a greater number of reports per session. Having said this, proposals and measures to enhance efficiency of the treaty bodies do not necessarily produce savings. To the contrary, reviewing more State party reports per session reduces the backlogs but increases documentation and staff support requirements, and will consequently cost more.

38. With regard to General Assembly resolution 64/173, in which the Assembly requested the chairs of the human rights treaty bodies to submit to it, through the High Commissioner, "specific recommendations for the achievement of the goal of equitable geographical distribution in the membership of the human rights treaty bodies", it is recalled that members of treaty bodies are nominated and elected by States parties in accordance with the provisions of each human rights treaty (with the exception of the Committee on Economic, Social and Cultural Rights, which is governed by Economic and Social Council resolution 1985/17). To help them to elect the most suitable candidates, including with respect to the goal set forth in resolution 64/173, OHCHR has made significant efforts to facilitate the attainment of this goal by promoting transparency in elections. For example, information is now publicly released as early as possible about upcoming elections for seats on the treaty bodies and candidatures, including curricula vitae, as they are received. Full information about the geographical and gender composition of all treaty bodies is always publicly available through the website of OHCHR and circulated again as part of the documentation of all elections. Following a suggestion that was made during the consultation with States parties, held in Sion, Switzerland, in May 2011, OHCHR prepared a background note on the committee that was next due to hold an election, namely the Committee on Migrant Workers, about the implications of membership to this body, with a view to aiding States parties in their search for suitable qualified candidates. Feedback received on its utility will inform OHCHR on how to proceed with more such notes on the occasion of future elections.

39. Also, at the twenty-third meeting of chairpersons of treaty bodies, held in Geneva on 30 June and 1 July 2011, the chairpersons decided to prepare a guidance document on eligibility and independence of treaty body members, to be adopted at its next meeting. Such guidance may in the long term facilitate nominations from all regions, including through raising awareness and enhancing clarity on the process and requirements.

VI. Update on the treaty body strengthening process

40. In light of the increasing pressure on the treaty body system, described above, the High Commissioner, in September 2009, took the initiative to launch a process of reflection by relevant stakeholders, including treaty body experts, States parties, United Nations partners, national human rights institutions and civil society, on ways and means to strengthen the treaty body system.

41. Further to the call of the High Commissioner, the Office has encouraged and facilitated a dialogue among different stakeholders to elaborate ideas and proposals for strengthening the treaty body system. Consultations were organized by a variety of external actors, such as those held in Poznan, Poland, for treaty body experts, as well as two meetings in Seoul and in Pretoria (South Africa) for civil society organizations. On 12 and 13 May 2011, representatives of approximately 90 countries met in Sion, at the invitation of the High Commissioner and the nine chairpersons of the human rights treaty bodies. Discussions focused, in particular, on the State party reporting process, namely the preparations for a report at the national level; constructive dialogue; the independence and expertise of treaty body members; and on the implementation of treaty body recommendations at the national level. The consultation process will continue with meetings for academics and for United Nations entities and regional human rights mechanisms. Both meetings will take place in Luzern, Switzerland. A final wrap-up meeting is planned, to be held in Dublin, in November 2011. In addition, retreats with all treaty body experts were organized on Saturdays, when committees were in session in Geneva, to brainstorm on the topics selected for discussion at the twenty-third meeting of treaty body chairpersons and the twelfth inter-committee meeting (both held in June 2011), and to reflect on ways and means to strengthen the treaty body system and identify options for the future of their work. At the twenty-third meeting of chairpersons, they discussed the challenges resulting from limited financial resources and expressed concern that their meeting and the inter-committee meeting were increasingly overlapping. The chairpersons agreed that the inter-committee meeting, financed from voluntary contributions since its inception in 2002, should be discontinued in its current format. Instead, and subject to availability of funds, ad hoc thematic working groups could be established, at the request of the chairpersons.

42. The different proposals made by stakeholders to date can be consulted on the website of OHCHR. The High Commissioner will submit a compilation of proposals stemming from the whole consultation process, in early 2012.

VII. Conclusions and recommendations

43. **In the context of its continued expansion, the treaty body system needs to be adequately resourced. A lack of resources is weakening States parties' accountability under international human rights law. All funding to the treaty bodies should come from the regular budget, as they are core activities of the Organization mandated by the international treaties.**

44. **The treaty bodies have continued their efforts to harmonize their working methods. However, there are limits to harmonization, owing to the specificity of the respective treaties, and to the impact that harmonization can have on the**

capacity of treaty bodies to cope with the sheer volume of State party reports and individual communications to be reviewed by those bodies. In addition, measures that increase efficiency in dealing with the volume of work or in ensuring an enhanced protection and promotion of human rights at the national level, might not reduce but increase the need for additional resources (e.g. in relation to webcasting, or reviewing a greater number of State party reports within existing meeting times).

45. The treaty body strengthening process will end with a wrap-up meeting scheduled to take place in Dublin, from 10 to 11 November 2011, gathering the conveners of the previous consultations that have taken place in the context of this process and the chairs of the treaty bodies. Following this event, the High Commissioner will present a final report compiling all relevant proposals made during this process, in early 2012.

46. Two proposals are suggested in this report. The first one attempts, in the short term, to reduce current backlogs through additional meeting time and would entail the presentation, on a biennial basis, of an adjusted comprehensive request for meeting time, based on actual workloads, to deal with submitted State party reports. The second proposal enables long-term planning through a fixed calendar based on 100 per cent compliance with State party reporting obligations. Both proposals result in an increase in the current meeting time allocations, allow the treaty bodies to plan sessions more efficiently and either deal with current backlogs or ensure the review of all State party reports.

47. The growth of the treaty body system has never been reflected through commensurate resources for each treaty body. Reviews of staffing or financial needs only take place in an ad hoc manner upon the adoption of a decision to request additional meeting time, or when a treaty passes a milestone for expansion. Apart from these triggering events (in which the estimated requirements are rarely fully approved), there has been no comprehensive review of the workload and resourcing of the treaty bodies. Such a review should, in fact, take place periodically. The General Assembly may consequently wish to undertake such a comprehensive review of the resources for the treaty body system as a whole, taking into account both its current needs (based on the level of actual compliance of States parties with their reporting obligations), and its projected needs (based on strict compliance of States parties with the reporting obligations under each treaty).

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Sixty-sixth session
Item 70 of the provisional agenda*
Strengthening of the coordination of humanitarian and disaster relief assistance of the United Nations, including special economic assistance

Safety and security of United Nations and associated personnel

Report of the Secretary-General

Summary

The General Assembly, in its resolution 65/132, requested the Secretary-General to submit to it, at its sixty-sixth session, a comprehensive and updated report on the safety and security of humanitarian personnel and protection of United Nations personnel and on the implementation of the resolution. The present report provides an update on the safety and security of United Nations personnel over the past year and on the efforts of the Department of Safety and Security to implement the recommendations of the Assembly contained in resolution 65/132 that fall under its responsibility.

The present report also describes the measures taken by the Department of Safety and Security and the United Nations security management system to continue to advance the strategic vision of a modern, professional security management system to ensure the safety, security and well-being of personnel and the security of United Nations premises and assets to enable the conduct of United Nations activities.

Note: When the report was in the final stages of completion, the United Nations House in Nigeria was attacked by a suicide bomber on 26 August 2011. This heinous attack killed 23 and wounded over 100 people. While this attack falls outside of the period covered by the present report, it is a tragic reminder of the dangers faced by United Nations and associated personnel worldwide and reinforces the recommendations contained in the report.

* A/66/150.

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I. Introduction

1. In its resolution 65/132, the General Assembly requested the Secretary-General to submit to it, at its sixty-sixth session, a report on the safety and security of humanitarian personnel and protection of United Nations personnel and on the implementation of that resolution. The present report provides an update on the safety and security of United Nations personnel over the past year and on the efforts of the Department of Safety and Security to implement the recommendations of the Assembly contained in resolution 65/132 that fall under its responsibility.

2. The present report contains a detailed analysis of security incidents that affected United Nations personnel[1] in the calendar year 2010 and compares those data, where applicable, to those for 2009. The report also provides information on security incidents in the first six months of 2011. Such analysis provides a clearer picture of the threats and dangers that the United Nations system faces as it delivers its mandate and programmes.

3. The report also describes the measures taken by the Department of Safety and Security and the United Nations security management system to continue to advance the strategic vision of a modern, professional security management system that supports designated officials and security management teams to enable United Nations programmes and activities.

II. Security challenges and threats against United Nations and associated personnel

4. United Nations and associated personnel operated in 2010 and the first half of 2011 in many dangerous situations. Member States and people around the world expected United Nations and associated personnel to be present at major crises, disasters or instances of political upheaval. This was an extraordinary period, with natural disasters such as earthquakes, floods and drought, as well as political unrest that led to both violent and peaceful changes of Government. Although there were fewer casualties from violence among United Nations personnel in 2010 than in previous years, violence in many areas reached very high levels. In many locations around the world, there was an erosion of respect for the understanding that humanitarian and United Nations operations should continue unhindered. Violent attacks on civilians, including humanitarian workers, and on host Governments occurred frequently. Programmes to enhance development, build State institutions and provide humanitarian assistance were delayed or hindered by terrorism and crime. Through it all, dedicated personnel continued to do their best to implement programmes designed to help others. The United Nations security management system focused on enabling, to the greatest extent possible, the United Nations and

[1] For the purpose of the present report, the term "United Nations personnel" refers to all personnel covered by the United Nations security management system, including United Nations system staff, United Nations Volunteers, individually deployed military and police personnel in Department of Peacekeeping Operations- or Department of Political Affairs-led missions, consultants, individual contractors, experts on mission and other officials with a direct contractual agreement with an organization of the United Nations system. The term does not refer to military members of national contingents or members of formed police units when deployed with their contingent.

non-governmental organizations to fulfil their mandates in spite of security threats. New security policies and programmes were put in place, designed to enhance the security of United Nations personnel, notwithstanding that risks are an inevitable part of the United Nations operational model. Security risk is an element to be managed, not merely avoided, and is one of the many challenges faced in the implemention of United Nations programmes worldwide. The United Nations security management system is on the right path but the future is likely to bring new challenges and threats.

A. Personnel affected by security incidents in 2010

5. During the reporting period, the Department of Safety and Security and the United Nations security management system continued to enhance data collection and analysis on security incidents that affect United Nations personnel. The analysis in the present report is therefore derived from enhanced information management capabilities. Accurate data analysis is essential to draw correct conclusions about the security challenges facing the United Nations.

6. The United Nations security management system has responsibility for over 150,000 personnel in more than 170 countries. Some 30,000 United Nations personnel serve at headquarters locations[2] and more than 120,000[3] serve in non-headquarters duty stations, including field offices.

7. Some of the main findings from the analysis of reported significant security incidents[4] in 2010 are:

(a) Of the 150,000 personnel in the United Nations system, 1,438, or about 1 per cent, were affected by significant security incidents;

(b) A total of 24 United Nations personnel lost their lives in significant security incidents, compared to 45 in 2009;

(c) Five personnel lost their lives as a result of violence and 19 others were killed in safety-related incidents, compared to 31 and 14 respectively in 2009;

(d) A total of 232 personnel were injured in significant security incidents (compared to 190 in 2009), 68 as the result of violence and 164 in safety-related incidents;

[2] For the purpose of the present report, "headquarters locations" are defined as headquarters of the organizations of the United Nations system that are members of the United Nations security management system.

[3] These numbers for United Nations personnel are derived from statistics of the organizations in the United Nations common system, headcount of field staff for cost-sharing in the United Nations security management system, staff lists under country-specific security plans and information generated by the "Travel request information process" and are the same as in 2009.

[4] In the present report, "significant security incidents" are reported incidents that adversely affect the United Nations operating environment in a significant way, including robberies, aggravated assaults, acts of intimidation and harassment, crimes against residences, arrests and detentions and safety-related incidents, such as road traffic and aviation accidents. Minor security events affecting United Nations personnel on a daily basis, involving, for example, lost and stolen identification documents, acts of misdemeanour or petty larceny, are not included. See annex I for details on all incidents.

(e) Among the 19 personnel killed and 164 injured in safety-related incidents, 16 died and 147 were injured because of road traffic accidents;

(f) Of all United Nations personnel affected by security incidents, 99 per cent were based in the field.

8. Some of the main conclusions to be drawn from the analysis of these significant security incidents are:

(a) Contrary to 2009, when terrorism was the prime cause of death and injury from violence for United Nations personnel, in 2010, all deaths, and the majority of injuries, from violence were caused by acts of criminality;

(b) United Nations personnel based in high-threat locations were twice as affected by security incidents as those based in low-threat locations;

(c) Road traffic accidents were the primary cause of death and injury of United Nations personnel;

(d) Internationally recruited personnel continued to be disproportionately more affected by security incidents than locally recruited personnel, yet all five United Nations personnel killed by violence were locally recruited;

(e) Female personnel were disproportionately more affected by robbery, crimes at residences, aggravated assault, sexual assault and harassment than their male counterparts.

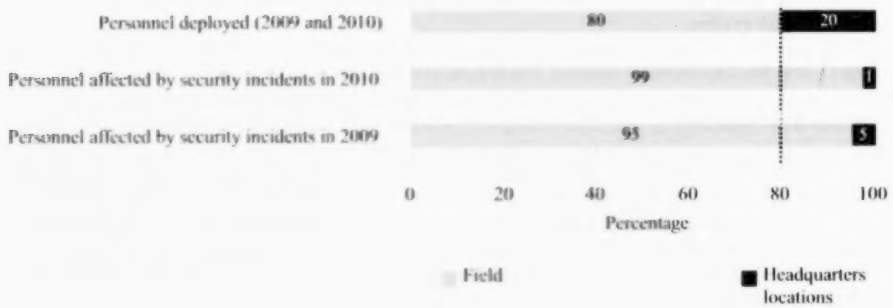
9. In 2010, the United Nations was affected by a catastrophic natural disaster. The earthquake in Haiti killed 58 United Nations personnel and 43 members of the police and military contingents of the United Nations Stabilization Mission in Haiti. This tragic incident was the first instance of mass casualties affecting the United Nations caused by a natural disaster.

I. Significant security incidents affecting United Nations civilian personnel

10. In 2010, approximately 1,438 United Nations personnel, about 1 per cent of the total, were reported to have been affected by significant security incidents. This percentage is similar to that for 2009. Of those affected, 99 per cent were in the field and 1 per cent at headquarters locations (see fig. I).

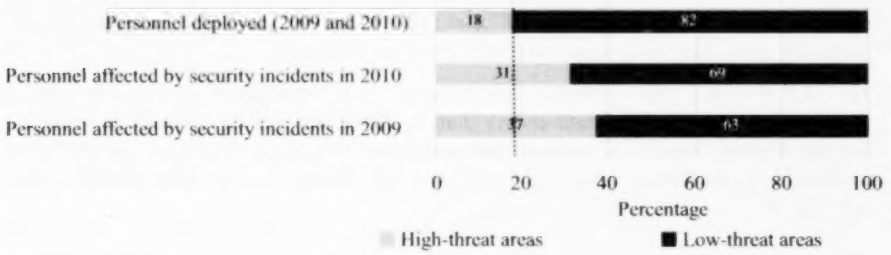
Figure I

Personnel deployed versus personnel affected by security incidents, worldwide (2010 and 2009)



11. Eighteen per cent of all United Nations personnel were deployed to high-threat locations and they suffered 31 per cent of the significant security incidents. This indicates that personnel operating in high-threat locations continue to be disproportionately more exposed to significant security incidents (see fig. II).

Figure II
Personnel deployed versus personnel affected by security incidents in high-threat locations (2010 and 2009)



12. About half of all personnel affected by security incidents were engaged in activities directly related to their official functions with the United Nations when the incidents occurred. The remaining half were affected when off duty (e.g., at their residence or on leave).

2. Critical security incidents caused by violence

13. Of the 1,438 United Nations personnel involved in significant security incidents in 2010, 18.6 per cent (268) were affected by critical incidents, i.e., those resulting in death, injury or abduction. This percentage is similar to that for 2009 (17 per cent).

14. Of those 268 personnel, 85 were involved in incidents of violence. Five were killed and 56 injured by criminal acts, 4 were injured because of acts of terrorism, 8 were injured in hostilities associated with armed conflicts and 12 were abducted. Figure III shows that the number of personnel killed by violence in 2010 was lower than in previous years.

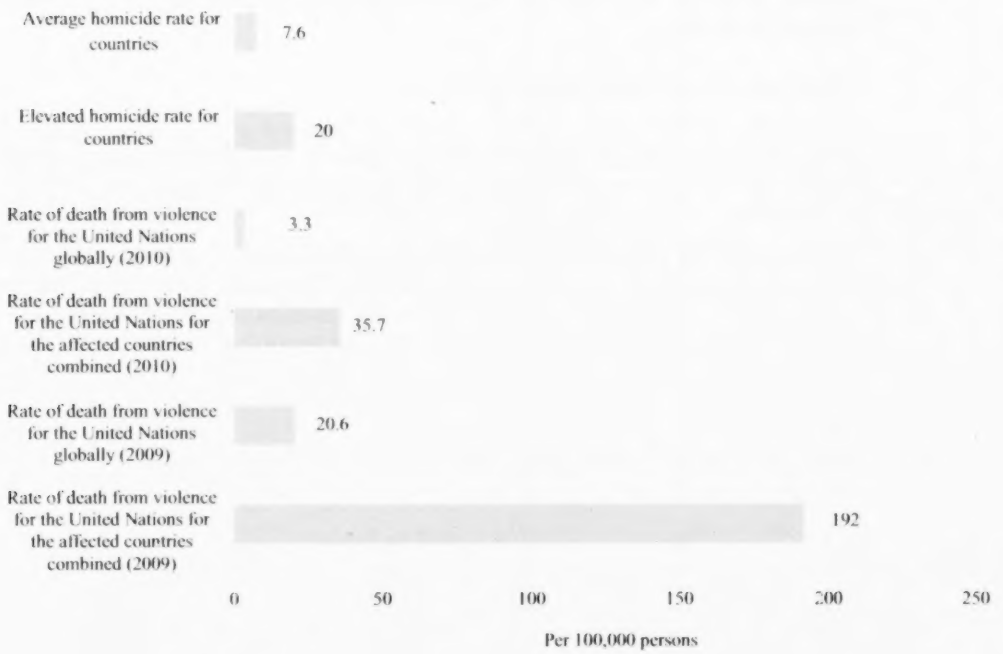
Figure III
Personnel killed by violence (2005-2010)

3. Comparing homicide rates

15. Continuing with the statistical comparisons provided in the previous reporting period, the present report compares casualties among United Nations personnel from violence with violent crime statistics of Member States, using per capita benchmarks. The homicide rate in most countries is between 1 and 10 per 100,000 inhabitants.[5] In countries experiencing elevated levels of violent crime, the homicide rate can be as high as 20 or 30 per 100,000 inhabitants. With 5 United Nations personnel out of 150,000 killed by violence in 2010, the overall rate of death from violence for the United Nations is 3.3 per 100,000 personnel. This is significantly lower than the rate of 20.6 per 100,000 in 2009 and is a rate that is normally associated with countries with low violent crime.

16. All five personnel killed by violence in 2010 were killed in four high-threat countries. Analysis of the data shows that, in 2010, the rate of death from violence for the United Nations for these four countries combined was 35.7 per 100,000 personnel, a rate that is normally associated with countries with high violent crime (see fig. IV).

Figure IV
Comparing homicide rates, 2010 and 2009


Average homicide rate for countries
7.6
Elevated homicide rate for countries
20
Rate of death from violence for the United Nations globally (2010)
3.3
Rate of death from violence for the United Nations for the affected countries combined (2010)
35.7
Rate of death from violence for the United Nations globally (2009)
20.6
Rate of death from violence for the United Nations for the affected countries combined (2009)
192
0
50
100
150
200
250
Per 100,000 persons

[5] The *Global Burden of Armed Violence* report (Geneva, Geneva Declaration Secretariat, 2008), Executive Summary, p. 5, gives the global average homicide rate as 7.6 per 100,000, available from www.genevadeclaration.org.

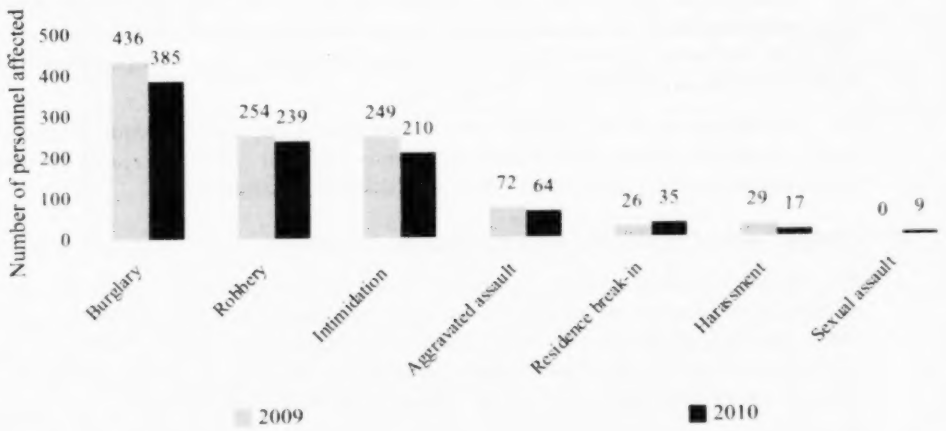
4. Abductions

17. In 2010, 12 United Nations personnel were abducted, compared to 22 in 2009. These abductions occurred in eight countries, 75 per cent of which were high-threat locations. Of the 12 abductions, 9 are known to have been financially motivated. The number of personnel abducted was divided equally between internationally and locally recruited personnel (see fig. VIII below). One protracted hostage situation lasted for three months, while all the others ended within hours or days.

5. Other incidents of violence

18. United Nations personnel were also affected by violence that did not result in death, abduction or injury. In 2010, 239 personnel were affected by robberies, 35 were affected by break-ins to their residences and 64 were subjected to aggravated assault. In 2010, 227 United Nations personnel were subjected to acts of intimidation and harassment. Figure V shows the number of personnel affected by various types of security incident that did not result in injury, abduction or death in 2009 and 2010 (see annex I for more details).

Figure V
Number of United Nations personnel affected by type of security incident (2009 and 2010)



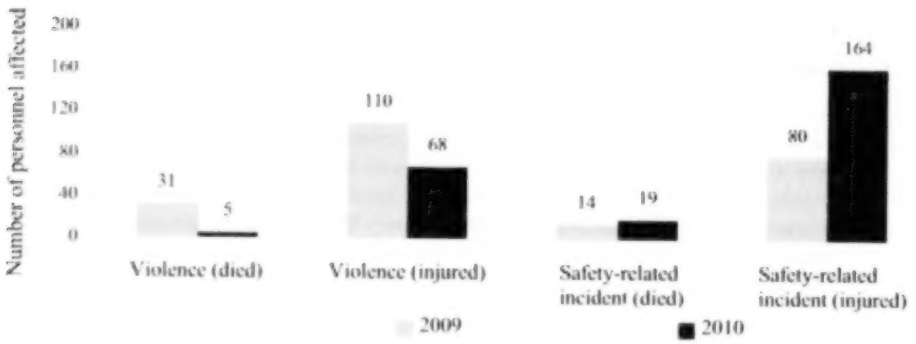
6. Safety-related incidents

19. In 2010, 19 personnel lost their lives and 164 were injured in safety-related incidents, which means that more United Nations personnel were killed and injured in safety-related incidents than by violence. Of these safety-related incidents, road traffic accidents caused 84 per cent (16) of the deaths and 90 per cent (147) of the injuries, making road hazards the primary cause of death and injury of United Nations personnel in 2010.

20. United Nations personnel were also affected by other safety-related incidents. Ten personnel were injured in workplace accidents, two were injured in fires at work and two were injured in an aviation accident. In addition, three personnel died and three were injured during recreational activities.

21. Figure VI compares the number of personnel killed and injured by violence and in safety-related incidents in 2009 and in 2010.

Figure VI
Violence versus safety-related incidents (2009 and 2010)



7. Road traffic hazards

22. About 55 per cent of all United Nations casualties from road traffic accidents were associated with the use of official United Nations vehicles, 29 per cent were related to the use of private vehicles, 7 per cent involved public transportation and 9 per cent of those affected were pedestrians.

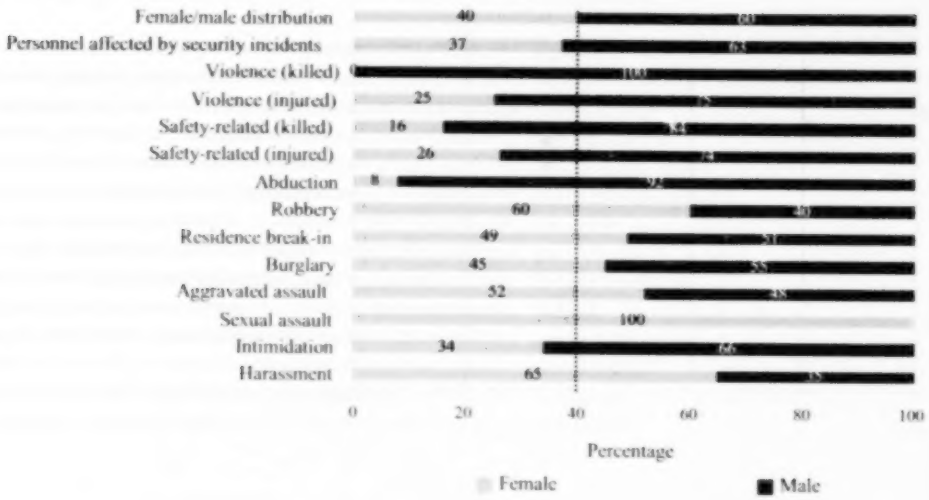
23. In addition to the 16 United Nations personnel killed and 147 injured in road traffic accidents, 33 non-United Nations persons died and 152 were injured in road traffic accidents involving United Nations vehicles in 30 countries.

8. Comparisons of significant security incidents by gender

24. Females comprise 40 per cent of all United Nations personnel and 37 per cent of personnel affected by significant security incidents. Therefore, in 2010, as in 2009, female personnel were less affected by significant security incidents in proportion to their population. Males comprise 60 per cent of all personnel, but 100 per cent of those killed and 75 per cent of those injured by violence.

25. Female personnel were disproportionately more affected by some types of incident. For example, female personnel comprised 60 per cent of the total affected by robberies, 49 per cent of that affected by residential break-ins, 45 per cent of that affected by burglary, 52 per cent of that affected by aggravated assault, 52 per cent of that affected by harassment and 100 per cent of personnel affected by sexual assault. Considering that females comprise 40 per cent of all personnel, they were disproportionately more exposed to the above-mentioned types of incident than male personnel (see fig. VII).

Figure VII
Female and male personnel involved in security incidents (2010)

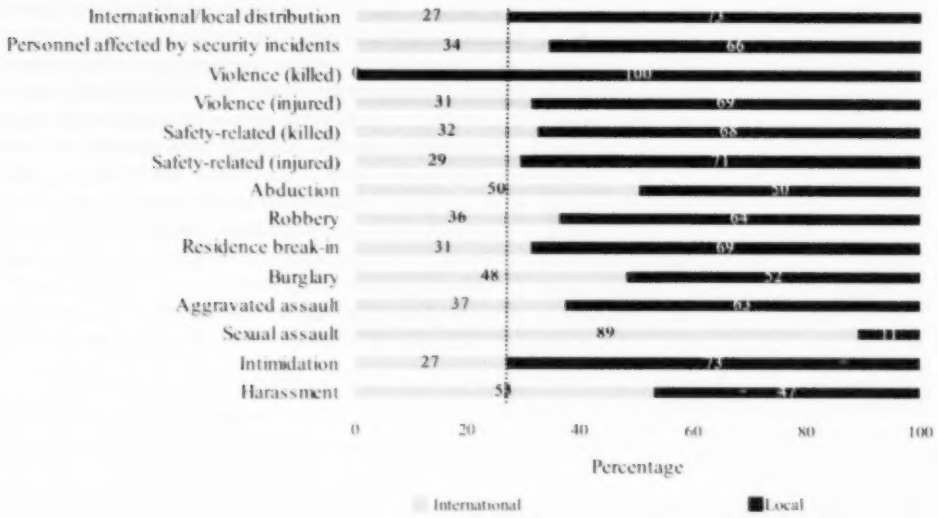


9. Comparisons of significant security incidents among international and local personnel

26. Out of 150,000 United Nations personnel, approximately 27 per cent are internationally recruited and they suffered 34 per cent of significant security incidents. Approximately 73 per cent of personnel are locally recruited and they suffered 66 per cent of significant security incidents. These figures indicate that, in both 2010 and 2009, international personnel were disproportionately more affected by security incidents.

27. However, in 2010, all five United Nations personnel killed by violence were locally recruited. In addition, harassment and intimidation have a greater impact on locally recruited personnel owing to their ties with local communities. Furthermore, in terms of absolute numbers of personnel and the number of incidents to which they were subjected, locally recruited personnel are the most affected, so their security must remain a high priority of the United Nations and host Governments.

Figure VIII
International and local personnel involved in security incidents (2010)



B. United Nations operations in high-threat environments

28. Despite efforts by host Governments, the United Nations system still found itself facing significant security challenges during the reporting period. An understanding of the security challenges that the United Nations faces requires more than the analysis of statistics on United Nations personnel affected by significant security incidents, because many incidents that affected the United Nations did not result in the injury or death of personnel.

29. United Nations personnel were most affected by security incidents in Afghanistan, the Darfur region of the Sudan and Somalia in 2010. There, United Nations personnel were affected by armed conflicts, banditry, abductions, hostage-taking, terrorism, intimidation and harassment, as well as by safety-related accidents. Those locations present extraordinary security challenges to the United Nations and remain a serious concern, especially considering that complex emergencies affecting the local population also occur at these locations.

30. In those three locations alone, there were 26 armed attacks on United Nations premises (including 5 rocket and mortar attacks), 13 attacks using improvised explosive devices, 36 ambushes of United Nations convoys and 31 cases of hijacking of United Nations vehicles.

31. In more than 80 countries, United Nations personnel were victims of robbery, aggravated assault and crime at their residences. In some of those locations also, United Nations personnel were kidnapped.

32. Even under such challenging conditions, sound security principles and practices enabled the United Nations to safely implement programmes, including emergency relief programmes, to support communities in need. The security

principles and practices provided real-time security management guidance and support to United Nations personnel. Those successes were made possible through the cooperation, and in many instances the extraordinary support, of security components of agencies, funds, programmes and organizations that comprise the United Nations security management system.

C. Significant security incidents in the first six months of 2011

33. In the first six months of 2011, 9 United Nations personnel were killed and 46 were injured by violence. Three United Nations personnel were killed during the attack on the office of the United Nations Assistance Mission to Afghanistan in Mazar-i-Sharif. Four internationally recruited contractors were also killed during this attack. Two personnel were killed when United Nations vehicles were ambushed, two were killed as a result of military hostilities and two died because of criminal attacks.

34. Of the 46 United Nations personnel injured, 33 were injured in criminal attacks, 5 were injured as the result of military hostilities, 5 from actions associated with civil unrest and 3 by acts of terrorism. Fourteen United Nations personnel were abducted. Of the 14 abductions, 12 cases are known to be financially motivated. One protracted hostage situation lasted for two months, while all the others ended within hours or days.

35. During the first six months of 2011, 33 United Nations personnel died and 73 were injured in safety-related incidents. Road traffic accidents killed 7 and injured 63.

36. Thirty-two people were killed when a United Nations aircraft crashed in Kinshasa; 20 United Nations personnel and 2 United Nations military personnel on board lost their lives in that tragic accident. Four other United Nations personnel were killed when a military aircraft crashed in the Plurinational State of Bolivia.

III. Respect for the human rights, privileges and immunities of United Nations and other personnel

37. The United Nations security management system is based on the fundamental principle that the primary responsibility for the security and protection of United Nations personnel and their eligible family members and property and the Organization's property rests with the host Government. The General Assembly, in paragraph 15 of its resolution 65/132, requested the Secretary-General to take the necessary measures to promote full respect for the human rights, privileges and immunities of United Nations and other personnel carrying out activities in fulfilment of the mandates of a United Nations operation. The General Assembly also requested the Secretary-General to seek the inclusion, in the negotiation of headquarters and other mission agreements concerning United Nations and associated personnel, of the applicable conditions contained in the Convention on the Privileges and Immunities of the United Nations, the Convention on the Privileges and Immunities of the Specialized Agencies and the Convention on the Safety of United Nations and Associated Personnel. Having entered into force on

19 August 2010, the Optional Protocol to the Convention on the Safety of United Nations and Associated Personnel also applies in this regard.

38. The United Nations continued the long-established practice of including in host country agreements provisions on the obligation of the host Government to provide safety and security to United Nations and associated personnel, and references to relevant provisions of the Convention on the Privileges and Immunities of the United Nations and related legal instruments. Recently concluded status-of-forces agreements and those under negotiation by the United Nations include references to the Convention on the Privileges and Immunities of the United Nations and the Convention on the Safety of United Nations and Associated Personnel.

39. In addition, United Nations senior officials continued to discuss with Member States issues relating to the human rights, privileges and immunities and safety and security of United Nations personnel, and to seek their support in improving the operational environment.

40. The Secretary-General urges Governments, in accordance with paragraph 16 of General Assembly resolution 65/132, to cooperate with the United Nations to ensure the timely conclusion of appropriate host country agreements, status-of-forces agreements and other related legal instruments that include adequate provisions on the safety and security of United Nations and associated personnel, including key provisions of, inter alia, the Convention on the Privileges and Immunities of the United Nations and the Convention on the Safety of United Nations and Associated Personnel and the Optional Protocol thereto.

IV. Arrest and detention

41. In 2010, 211 United Nations personnel were detained or arrested, 89 per cent of whom were locally recruited. Of all detentions, 24 per cent (50 cases) were considered job-related, in that the personnel were detained in the course of, or in connection with, their official duties. Most cases were resolved and the detained personnel were released within hours, days or weeks. In only three cases was the United Nations denied access to a detainee and given no reasons for the arrest.

42. The remaining 76 per cent (161) of the cases of arrest and detention were not job-related. In those cases, personnel were detained for alleged civil or criminal offences.

V. Strengthening the United Nations security management system

A. Enhancing security collaboration between the United Nations and host Governments

43. During the reporting period, the Under-Secretary-General for Safety and Security continued to increase contact and dialogue with the relevant authorities of Member States at the country level and at United Nations headquarters locations, in which ways were examined to strengthen collaboration between host Governments

and the United Nations on security issues, including security-related information sharing, threat analysis, risk assessment, contingency planning and other aspects of security risk management, including protective measures for United Nations premises.

44. Through increased interaction with Member States, the Under-Secretary-General for Safety and Security continued to inform them on steps taken and resources required to implement the new strategic direction of the United Nations security management system. The new strategic direction focuses on enabling safe programme delivery through security risk management and a refined and professional information-based security management system. The Department of Safety and Security continues to promote collaboration with host Governments on security as a strategic focus of the United Nations security management system.

45. One of the key areas for collaboration between the United Nations and host Governments is that of holding accountable those responsible for threats and acts of violence against United Nations and associated personnel. The Under-Secretary-General for Safety and Security also held bilateral meetings with the relevant authorities of Member States to impress upon them the need to investigate fully attacks on United Nations and associated personnel, and to bring to justice the perpetrators of such acts. Notwithstanding high-level efforts to bring investigations into such attacks to a successful conclusion, there continue to be many unresolved cases in regard to the arrest, prosecution and punishment of perpetrators.

B. Refining the United Nations security management system

46. The previous report (A/65/344 and Corr.1) highlighted developments and innovations in the continued transformation of the United Nations security management system that was focused on enabling programme delivery by finding ways to keep United Nations personnel where they need to be and as safe as possible. In response, the General Assembly, in its resolution 65/132, welcomed the progress made towards the further enhancement of the United Nations security management system and supported the focus on enabling the United Nations system to deliver its mandates, programmes and activities by effectively managing risks to personnel. The present report illustrates how the United Nations security management system put into operation the fundamental shift in mindset from "when to leave" to "how to stay" and further enhanced the United Nations security management system.

47. Key to the operationalization and further enhancement of the United Nations security management system were the cooperation and collaboration between all members of the Inter-Agency Security Management Network, under the leadership of the Under-Secretary-General for Safety and Security.

1. Abolishment of the security phase system and related changes

48. On 1 January 2011, the security phase system was abolished on the basis of long-standing recommendations. In line with the security risk management approach, the introduction of the security level system provided security managers with an independent and objective tool that was not linked to security measures or security-related entitlements. That change enabled security managers to adopt a

wider range of security measures to address risks to personnel and support United Nations programmes and activities.

49. To support the new approach, the Department of Safety and Security developed a number of new policies. A new policy on evacuation, relocation and alternate work modalities was approved by the Inter-Agency Security Management Network and the High-level Committee on Management. This policy supports more nuanced, context-specific and risk-based decisions on how and when to move personnel or eligible family members away from situations of unacceptable risk and provides support to designated officials in discharging their responsibilities. This kind of flexibility was not possible under the security phase system.

50. A new policy on security clearances and a streamlined, user-friendly computer-based system (the "Travel request information process") were developed to facilitate the process of submitting and obtaining security clearances. The new policy and the new software system resulted in increased registration of official United Nations travel.

51. The efficient implementation of the "Travel request information process" for security clearances and the promulgation of the new policy on evacuation and relocation assisted managers to respond quickly and effectively to a range of challenging security situations in the first half of 2011, most notably in the Middle East and North Africa.

52. The abolition of the security phase system also required new approaches and enhanced coordination with the Human Resources Network of the High-level Committee on Management to ensure that the remuneration of United Nations system personnel and eligible family members in relocation or evacuation status is granted in line with the policy changes in the security management system.

2. Road safety initiatives

53. In response to ongoing concerns about the impact of road safety hazards on United Nations personnel and others, as well as in response to a request of the General Assembly in paragraph 23 of resolution 65/132, the Department of Safety and Security drafted a road safety policy that was approved by the Inter-Agency Security Management Network. This policy encompasses the various road safety policies and initiatives of the organizations of the United Nations security management system, including the United Nations Secretariat's administrative instruction on road and driving safety (ST/AI/2010/06). The policy outlines the approach of the United Nations security management system to managing risks from road traffic hazards (for example, through better planning and support of medical response) and details the responsibilities of United Nations system organizations and United Nations drivers and passengers for preventing road traffic accidents and for mitigating their effects if they happen. The policy also emphasizes that unsafe driving practices and road traffic accidents involving United Nations vehicles can generate resentment among the local population towards the United Nations and potentially cause additional security incidents. If the policy is approved by the High-level Committee on Management, this will be the first time that the United Nations system has a unified policy on road safety. This will permit more effective system-wide road safety training and awareness campaigns.

54. In response to the General Assembly's request in regard to the strengthening of data collection and analysis concerning road traffic accidents involving United Nations personnel and vehicles, as well as non-United Nations civilians affected by accidents involving United Nations vehicles (see resolution 65/132, para. 23), the Department of Safety and Security adjusted its security incident reporting requirements, which resulted in the collection of better data on road traffic accidents, as detailed in previous sections above.

3. Measures to improve the safety and security of locally recruited personnel

55. During the reporting period, the security and safety of locally recruited personnel remained an important issue for the United Nations and Member States and a priority for the United Nations security management system. During crises, the United Nations security management system demonstrated a unified sense of purpose in supporting locally recruited personnel. Designated officials, in consultation with security management teams, identified relocation options for locally recruited personnel and their eligible family members when necessary. Considerable success was achieved in establishing vital and sustainable communication links with locally recruited personnel throughout crises. The United Nations system provided salary advances when necessary and implemented alternate work modalities in some cases. The welfare of locally recruited personnel was a paramount concern during crises and the Department of Safety and Security provided improved modalities and a wider scope of stress counselling for locally recruited personnel affected by crises. The Department of Safety and Security and the United Nations security management system are continuing to identify areas in which to provide greater support to locally recruited personnel, including the enhancement and wider application of security training.

4. Measures to improve the safety and security of female personnel

56. It was previously reported to the General Assembly that the Inter-Agency Security Management Network had endorsed a special security-training package for female personnel (see A/65/344, para. 60). During the reporting period, the training package, entitled "Women's security awareness training", was posted on the United Nations security management system website for use by trainers system-wide. The World Food Programme spearheaded this training initiative, which addresses security for women and promotes gender awareness. The topic is being presented to all newly recruited security officials.

5. Other United Nations security management system developments

57. The Department of Safety and Security re-examined the recommendations of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide during 2010 and the first half of 2011. The Department conducted pilot tests of three initiatives to strengthen host country collaboration on security issues, focusing on host country agreements, host country liaison committees and model host country security agreements. The pilot tests showed that those initiatives would not be feasible and would not adequately address the root issues regarding host country collaboration. The Inter-Agency Security Management Network agreed to explore a more holistic approach to strengthening collaboration with host country authorities that would involve the inclusion of host country collaboration in security management training and compliance evaluations,

enhanced communications with Member States and the development of a methodology that would provide a reliable picture of host country collaboration and allow for focused remedial action.

58. The Independent Panel recommended a revision of the 2007 framework of accountability for the United Nations security management system. The General Assembly, by its resolution 65/260, took note of the revised framework submitted in the Secretary-General's report in 2010 (A/65/320 and Corr.1). Subsequently, the Department of Safety and Security disseminated the revised framework throughout the United Nations security management system. Executive heads of United Nations system agencies, funds, programmes and organizations were requested to distribute the revised framework within their respective organizations, and designated officials and members of security management teams were also requested to distribute the revised framework to all personnel in the field. In addition, following an earlier decision by the Chief Executives Board for Coordination in October 2009, organizations within the United Nations security management system were reminded to establish their own internal frameworks of accountability for security. To date, 11 United Nations security management system organizations have already done so.

VI. Contributions of the Department of Safety and Security to the security of personnel

59. The Department of Safety and Security continued to advance its strategic vision of a modern, professional security department that supports designated officials and security management teams to enable United Nations programmes and activities. Building on its achievements during 2009 and the first half of 2010, the Department continued to enhance significantly its field support, policies, recruitment, training and information gathering and analysis.

A. Field support

60. The Department supported the field by increasing the protection available at premises where United Nations personnel work and live, including by conducting reviews of security systems and making recommendations to enhance protection or that facilities and residences in high-risk places be relocated to safer locations. It spearheaded efforts to provide better equipment, including personal protection equipment, armoured vehicles and communications, in support of programmes in the field.

61. The Department developed a broader evaluation process to assess the effectiveness of the whole United Nations security management system in field locations. Compliance evaluation teams visited 19 duty stations and conducted evaluations at 841 agency, fund and programme locations. The Department continued to deploy compliance readiness review missions on short notice to obtain a clear and accurate snapshot of how the local security management system works on a day-to-day basis. It also launched a minimum operating security standards self-assessment web-based application to enhance the security management capacities at field locations.

62. The Department coordinated the security of 116 large conferences away from headquarters locations. The Department also undertook a review of the physical security arrangements at each headquarters duty station and developed a methodology for peer-review assessment of security measures. In addition, the United Nations Security and Safety Services Network endorsed a standard access control identification system for global implementation.

63. The Department continued to address the psychosocial needs of United Nations personnel and to enhance the operational readiness and capacity of the United Nations system regarding critical incident stress management. The Department supported 13,325 personnel in 30 duty stations with critical incident stress management services, as well as training 1,389 managers to strengthen their responsiveness to the psychological needs of their personnel. Department counsellors responded to a significant number of critical incidents, including four hostage incidents in the Sudan, civil unrest and inter-ethnic violence in Kyrgyzstan, a restaurant bombing in Uganda, the attack on the United Nations compound in Mazar-i-Sharif, the protracted crisis in Côte d'Ivoire and the crises throughout the Middle East and North Africa. The Department was required to respond with critical incident stress management services to multiple crises simultaneously.

64. Those crises underlined the importance of the critical incident stress intervention cells that the Department established during the reporting period. The cells comprise trained counsellors, family focal points and peer helpers. They were able to respond more quickly and more effectively in such locations as the Democratic Republic of the Congo and the Sudan than in such locations as Tunisia, Egypt, Libya and the Syrian Republic, where there were not adequate resources for the where appropriate critical stress management structure.

65. Capacity-building, advocacy and improved inter-agency cooperation were key to the Department's sustainable support system for the psychosocial needs of United Nations personnel. The Department trained 87 mental health professionals in the Middle East, West African, Caribbean and Latin American regions. This meant that more than 50 security management teams were able to access the services of mental health professionals in their areas of responsibility. The Department also organized the sixth annual meeting of Secretariat-affiliated counsellors at which 44 counsellors from United Nations Headquarters, the United Nations Office at Vienna and agencies, funds, programmes and organizations worked towards harmonizing their interventions and procedures. The benefit of system-wide coordination among counsellors was particularly notable following the attacks in Afghanistan, the plane crash in the Democratic Republic of the Congo and the crisis in Côte d'Ivoire.

66. The Department worked closely with the Office for the Coordination of Humanitarian Affairs in the preparation and implementation of the Office's study of best practices for enabling humanitarian operations in complex security environments. The report from that study[6] was widely distributed within the Department. The Department will also examine the feasibility of incorporating the applicable recommendations of the study in security management policy and practice.

[6] "To Stay and Deliver — Good practice for humanitarians in complex security environments", available from http://ochanet.unocha.org/p/Documents/Stay_and_Deliver.pdf.

67. The Department became a key contributor to the work of the International Civil Service Commission and the Human Resources Network of the High-level Committee on Management in respect of hazard pay and the security component of duty station classification for the purpose of the hardship allowance. The Department further enhanced its role by providing practical, technical and policy advice to ensure the smooth and clear implementation of security and human resources policies across the United Nations common system. That enhanced role was critical in view of the abolishment of the security phase system and the harmonization of the conditions of service of personnel of the organizations of the United Nations common system serving in non-family duty stations (see General Assembly resolution 65/248).

B. Policies and guidelines

68. The Department continued its ongoing initiative to support the United Nations security management system with sound security policies that conform to the risk management philosophy, including by transiting from the current *Field Security Handbook* to the new *Security Policy Manual*. The Department launched the security policy portion of its web portal, which provides security managers and all personnel access to up-to-date security-related policies.

69. The Department established global standards for operations of the Security and Safety Services under the Department of Safety and Security, ranging from providing security at major facilities and implementing successful close protection programmes to supporting the complex security needs in relation to high-level events. It updated the "Guidelines on external conferences", prepared a United Nations weapons manual to complement the revised policy on the use of force and prepared guidelines on fire safety and prevention. The "Manual of guidance on protective services" and the close protection training programme were promulgated to the entire security management system.

C. Recruitment

70. The Department undertook a major recruitment campaign to extend support to the field and the geographical coverage of its security officials by filling 97 new posts that had been approved by the General Assembly for the biennium 2010-2011. As a result, the Department appointed 36 security coordination officers, 29 local security assistants, 10 security information analysts for the Department's 5 security information operation centres and 9 stand-alone analysts. The Department headquarters also enhanced its analytical support for the field with four additional analysts in New York. Special emphasis was placed on improving gender balance and geographic diversity among security officials. In addition to 15 cost-shared counselling posts, five new critical incident stress counsellors were recruited in Bolivia (Plurinational State of), Chile, Peru, Somalia and Zimbabwe. The Department recruited an Aviation Risk Management Officer at its headquarters to provide advice to the United Nations system on air travel safety and to develop a methodology to identify and assess aviation risks for all United Nations personnel using international and domestic commercial passenger airlines.

D. Training

71. To enhance the decision-making capacity of senior security managers in the field, the Department continued to place high priority on training for designated officials and security management teams. The Department trained 38 designated officials and 507 security management team members during the reporting period. Since 2009, the Department has provided security management training for 108 designated officials, 91 of whom are still serving in that capacity.

72. In preparation for the official launch of the new security level system on 1 January 2011, the Department conducted extensive training on the new system, targeting designated officials, security management teams and security advisers in high-threat countries. In addition, training on the new system was provided for security officers at regional conferences.

73. The Department conducted its country-specific training programme, "Secure and safe approaches in field environments", for 4,725 United Nations personnel in 21 countries, bringing the total number of personnel trained since 2009 to 8,704. That training imparts country-specific security knowledge, including on cultural awareness issues, to lower the risks to United Nations personnel serving in the location in question and continues to be an efficient and cost-effective way to conduct security training; 211 international and local security professionals were certified as trainers in "Secure and safe approaches in field environments".

74. The pilot training cell in Nairobi was effective in providing timely training for United Nations personnel in Africa, Asia and the Middle East while greatly reducing administrative costs. United Nations security management system training and mobile medical team training has been reinforced and the programme has been expanded to its authorized level.

75. The Department increased the number of specialized training courses for security analysts from two to six, training 44 of its own personnel and 74 personnel from other organizations in the United Nations security management system.

76. The Department conducted a course in Romania for close protection officers, and 54 United Nations security officers were trained during the reporting period. Another area of specialized training is that of hostage incident management, where the Department provided training to 113 personnel from the Department of Peacekeeping Operations, the United Nations Office for Project Services, the United Nations Development Programme, the World Food Programme, the United Nations Mission in the Sudan, the African Union/United Nations Hybrid Operation in Darfur and the United Nations Assistance Mission in Afghanistan.

77. The Department introduced a new security awareness campaign called "SAFEUN" at 11 headquarters duty stations. It was designed by the United Nations Office for Project Services and is intended to enhance the safety and security awareness of United Nations personnel.

E. Information gathering and analysis

78. Through greater use of geographic information systems and data collection and building on its expanded network of analysts globally, the Department was better able to conduct vital analyses of security situations, provide security advice more

effectively to a wider range of stakeholders and enhance its collaboration with its implementing partners. In order to continue to build an information-based security management system, the Department started to integrate data from different applications (e.g., the security level system, the premises vulnerability questionnaire, the travel request information process) into a consolidated management tool to enable security managers to make more efficient and effective security-related decisions. The launch of the new security clearance portal called the "Travel request information process", in parallel with the introduction of the security level system on 1 January 2011, was the first step in this consolidation process. The number of security clearances processed through the new tool, approximately 4,000 per day, represents an almost 100 per cent increase over the previous systems.

79. The investment in the expansion of the Department's security information operation centres and in the training on the new security level system for security management teams, designated officials and a range of officials throughout the United Nations system, as well as the improved management of information all contributed to the effective management of security risks while achieving programmatic goals.

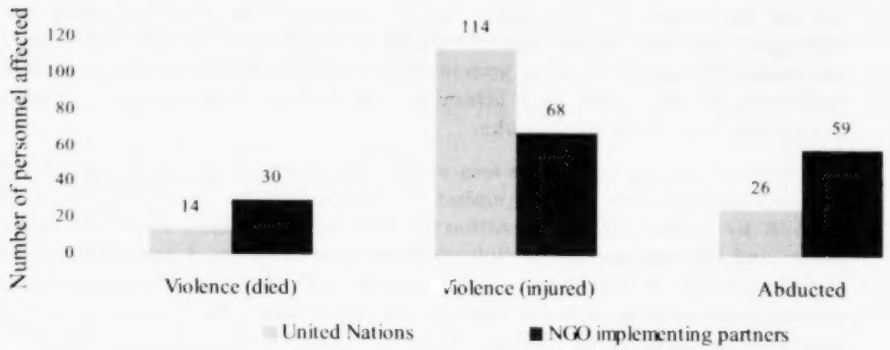
VII. Security collaboration between the United Nations and non-governmental organizations

80. Information received by the Department shows that non-governmental organization (NGO) personnel faced more significant security challenges in 2010 than did the United Nations. Although reporting on incidents affecting NGOs in general is not standardized, the information received from United Nations NGO implementing partners[7] shows that, from 1 January 2010 to 30 June 2011, 30 personnel of implementing partners were killed and 68 injured by violence. During the same period, 59 implementing partner personnel were abducted (see fig. IX). These numbers are similar to those for the previous reporting period. Annex III provides details about personnel of implementing partners affected by significant security incidents.

[7] An implementing partner is defined as an NGO that has entered into an agreement with a United Nations system organization to implement a particular project or programme.

Figure IX

United Nations versus non-governmental organization implementing partner personnel affected by significant security incidents (1 January 2010-30 June 2011)



81. During the reporting period, the Inter-Agency Standing Committee Steering Group on Security/Saving Lives Together Task Force revised the Saving Lives Together framework, with the aim of streamlining the recommendations and providing clear guidance on roles and responsibilities. This process highlighted the need for reliable funding to meet the growing demand for security collaboration. Subsequently, for the first time since Saving Lives Together was established, donors funded the Department's efforts to support the framework. As a result, the implementation of the Department's NGO liaison capacity project is making good progress. This initiative has the strong engagement and support of all Saving Lives Together partners, including United Nations humanitarian agencies and more than 300 international NGOs linked to four major NGO consortia (Interaction, the International Council of Voluntary Agencies, the Steering Committee for Humanitarian Response and the European Interagency Security Forum).

82. To expand its support for security collaboration with NGOs, the Department created 13 new posts for liaison officers, who work in the Saving Lives Together framework to provide security support to the United Nations international NGO partners operating in the humanitarian cluster system. These liaison officers also perform a number of duties relating to the "Saving Lives Together" project. Two liaison officers are based at the Department's headquarters, eight have been deployed to the field and three are still in the recruitment process. The selection process and training for the liaison officers is as rigorous as for other security officials in the Department. Feedback from implementing partners indicates that the liaison officers have been successful in making the "Saving Lives Together" project workable in the field.

83. Donors have supported the establishment of the International NGO Safety Office, based in the United Kingdom of Great Britain and Northern Ireland, to coordinate the actions of NGO security platforms in such locations as Afghanistan, Gaza, Pakistan and Somalia. This office, together with the Department's liaison officers and NGO safety platforms, creates a powerful security management tool for the benefit of the humanitarian community.

VIII. Observations and recommendations

84. **I remain concerned at the number of United Nations and associated personnel affected by security incidents. I am greatly distressed by the death of 24 and the injury of 232 United Nations personnel in 2010, including the 5 colleagues who were killed and 68 injured by violence. I am also distressed by the death and injury of other humanitarian relief personnel. I was profoundly saddened by the death and injury of our United Nations and associated personnel in the Haiti earthquake.**

85. **While I deeply regret the loss of life and injury, I am encouraged by the substantial reduction in the number of United Nations personnel killed and injured by violence in 2010. Although the United Nations continues to face direct and indirect threats of violence from many sources, I am confident that the Department of Safety and Security, along with the United Nations security management system, will continue to develop sound and innovative ways to improve the security of United Nations personnel, including in high-threat locations. Such constant vigilance is important because the United Nations will continue to face these threats, as well as new and at present unknown threats, in the future.**

86. **I commend how these sustained efforts to keep our personnel safe have allowed the United Nations to continue to implement its programmes and mandates even in the most challenging of environments. I am encouraged by the continual refinement of the United Nations security management system, including the development of new policies following the abolition of the security phase system, and by the flexibility that these new policies give designated officials to manage the security problems they face. I cannot overemphasize the importance of security collaboration between the United Nations and host countries on contingency planning, information sharing and risk assessment, as a strategic priority of the United Nations security management system.**

87. **I am encouraged by the continued refinement and implementation of the "Saving Lives Together" framework and other steps to improve security collaboration between the United Nations and NGOs. I reiterate my call to Member States, as both hosts and donors, to provide full support to this important security initiative.**

88. **While the United Nations, in cooperation with the humanitarian community will continue to intensify efforts to refine the security management system, the support of host Governments and local authorities remains the first line in the protection of United Nations and associated personnel. I urge all Member States to take concrete steps, at the national and international levels, to ensure, through their individual and collective actions, the safety and security of United Nations and associated personnel.**

89. **I call on Member States to continue observing the internationally agreed principles on the protection of United Nations and associated personnel. I reiterate that, in conducting critical humanitarian activities and in operating in high-threat environments, including conflict situations, United Nations and associated personnel will often be exposed to high risks. I continue to stress that managing those risks in key locations in the world, whether for regular**

activities or for sudden-onset emergencies, will require security investments commensurate with programme needs.

90. **I request all Member States that have not already done so to ratify or accede to the Optional Protocol to the Convention on the Safety of United Nations and Associated Personnel.**

91. **I urge Member States to continue to facilitate administrative, visa and customs procedures for United Nations personnel and programmes, particularly for humanitarian emergencies and in high-threat environments.**

92. **On behalf of all United Nations personnel, I wish to express my deep appreciation to the Member States for their ongoing support to the Department of Safety and Security, and I am optimistic that Member States and the United Nations system will continue to take the necessary steps to strengthen pragmatic approaches to safety and security issues.**

93. **On behalf of the United Nations, I wish to express my deep condolences to the families of all United Nations and associated personnel, and all humanitarian personnel, who have lost their lives in the line of duty, and I highly commend those who continue to work in challenging and dangerous conditions.**

94. **I wish to recommend that the General Assembly remain seized of the issue of the safety and security of United Nations and associated personnel and continue its support to the United Nations security management system.**

Annex I

United Nations personnel affected by security incidents from 1 January to 31 December 2010

Category of security incident	*Number of personnel affected*	*Internationally recruited personnel*	*Locally recruited personnel*	*Male personnel*	*Female personnel*	*Number of countries concerned*	*Circumstances of security incidents*
Loss of life of personnel as a result of acts of violence	5	—	5	5	—	4	All casualties were victims of crime, high-threat duty stations (4)
Loss of life of personnel as a result of safety-related incidents	19	6	13	16	3	14	Traffic accident (16), other accident (3), high-threat duty stations (6)
Injury of personnel as a result of acts of violence	68	21	47	51	17	29	Terrorism (4), armed conflict (8), crime (56), high-threat duty stations (27)
Injury of personnel as a result of safety-related incidents	164	47	117	121	43	53	Traffic accident (147), other accident (17), high-threat duty stations (32)
Abduction[a] of personnel	12	6	6	11	1	8	High-threat duty stations (8)
Robbery[b] of personnel	239	86	153	95	144	55	High-threat duty stations (29)
Residence break-in[c]	35	11	24	18	17	16	High-threat duty stations (9)
Aggravated assault[d] of personnel	64	24	40	31	33	29	High-threat duty stations (27)
Sexual assault of personnel	9	8	1	—	9	6	High-threat duty stations (2)
Burglary[e] of residence	385	186	199	213	172	83	High-threat duty stations (83)
Intimidation[f] of personnel	210	57	153	139	71	52	High-threat duty stations (99)
Harassment[g] of personnel	17	9	8	6	11	10	High-threat duty stations (5)
Arrest[h] and detention of personnel	211	34	177	194	17	51	High-threat duty stations (115)
Total	**1 438**	**495**	**943**	**900**	**538**		**High-threat duty stations (446)**

[a] Act of restraint through the use or threat of force or through fraudulent persuasion, including hostage-taking involving demands as conditions for liberation, executed by non-State actors.
[b] Act or instance of unlawfully taking property by the use of violence or threat of violence.
[c] Unauthorized and forceful entry with intent to commit felony or crime, aggravated by use of force and or physical assault.
[d] Unlawful act which places personnel, without consent, in fear of immediate bodily harm or battery.
[e] Unauthorized and forceful entry with intent to commit felony or crime.
[f] Act of making timid or fearful or of deterring by threats.
[g] Systematic and/or continued, unwanted and annoying actions which serve no legitimate purpose, causing substantial emotional distress.
[h] Acts executed by State actors.

Annex II

Comparison of security incidents that affected United Nations personnel in 2009 and 2010

Category of security incident	*2009*	*2010*
	Number of personnel affected	
Loss of life of personnel as a result of acts of violence	31	5
Loss of life of personnel as a result of safety-related incidents	14	19
Injury of personnel as a result of acts of violence	110	68
Injury of personnel as a result of safety-related incidents	80	164
Abduction of personnel	22	12
Robbery of personnel	254	239
Residence break-in	26	35
Aggravated assault of personnel	72	64
Sexual assault of personnel	—	9
Burglary of residence of personnel	436	385
Intimidation of personnel	249	210
Harassment of personnel	29	17
Arrest and detention of personnel	163	211
Total number of United Nations personnel affected	**1 486**	**1 438**

Annex III

Critical and severe security incidents affecting personnel of United Nations NGO implementing partners in the period 1 January 2010-30 June 2011

Category of security incident affecting NGO implementing partners	*Number of personnel affected*
Loss of life as a result of acts of violence	30
Injury as a result of acts of violence	70
Abduction	59
Other security incidents	119
Total (as reported to the Department of Safety and Security)	**278**